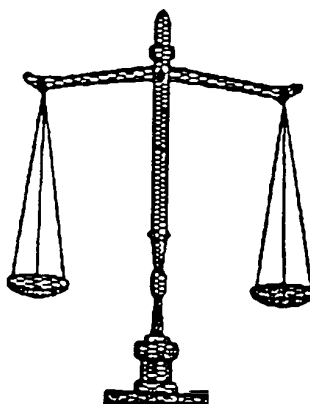


Long Range Plan for Information Technology in the Federal Judiciary



Fiscal Year 1998 Update

NOTICE

The *Long Range Plan for Information Technology in the Federal Judiciary* is prepared pursuant to 28 U.S.C. § 612. It is approved annually by the Judicial Conference of the United States on recommendation of its Committee on Automation and Technology.

Long Range Plan for Information Technology in the Federal Judiciary

Fiscal Year 1998 Update

Executive Summary

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LONG RANGE PLAN FOR INFORMATION TECHNOLOGY IN THE FEDERAL JUDICIARY

FISCAL YEAR 1998 UPDATE

EXECUTIVE SUMMARY

The fiscal year 1998 update to the *Long Range Plan for Information Technology in the Federal Judiciary* was developed pursuant to 28 U.S.C. § 612 as amended. The purpose of the *Long Range Plan for Information Technology in the Federal Judiciary* is to ensure that information resources and technology support the judiciary's mission, goals, and principal strategic objectives. This plan provides a means for the judiciary to express its vision for the future, build consensus for achieving that vision, and track progress. It provides a system for communicating the Information Resources Management (IRM) strategic plan throughout the judiciary, ensuring that all are aware of the IRM vision and plans.

The plan encompasses all information technology (IT) activities under the jurisdiction of the Judicial Conference Committee on Automation and Technology. This includes all IT activities for those organizational entities of the judiciary for which the Director of the Administrative Office of the U. S. Courts (Administrative Office) has procurement authority. The plan is based on and supports published IRM standards and the approved Information Systems Architecture (ISA). The plan applies to all IT activities currently under way, as well as those to be undertaken during the 5-year planning period.

The scope of the plan includes the following aspects of IRM as they apply to program activities of the courts of appeals, district courts, bankruptcy courts, probation and pretrial services offices, the Administrative Office, and other judicial services accounts of the judicial branch:

- Information (from creation to final disposition).
- Resources (personnel, hardware, software, and telecommunications).
- Management (planning, organizing, directing, reporting, budgeting, and coordinating activities).

The scope of this plan includes electronic records management but excludes traditional areas of records management, such as copier, mail, and hard copy correspondence management.

CURRENT IRM ENVIRONMENT

Planning the future of the IT program is contingent upon a thorough understanding of the current IRM environment. Although no organization can completely control its environment, understanding the environment does provide answers to questions such as (1) where the IT program is now; (2) what its strengths, needs, opportunities, challenges, and issues are; and (3) what internal and external influences, policies, and recommendations affect the development of IRM within the judiciary.

The judiciary operates in an information-intensive environment. A large number of its computer systems and applications have been in service for many years. While modernizing existing systems, the judiciary is also trying to provide new and better services to its internal and external customers. Identifying and carrying out IRM initiatives that provide IT to assist employees in fulfilling the judiciary's mission helps move the judiciary toward this goal.

The judiciary, like other public and private enterprises today, is seeking to maximize the benefits of IT and meet the demands of intra and extra-judiciary users who expect more from technology than ever before. Technology users are flooded with information, which they must be able to use in a meaningful way. At the same time, funding for IT is increasingly linked to results. Decisions regarding technology investments must balance economy with effectiveness.

While technology may offer potential economies in areas such as travel, printing, and postage, the personal computer revolution has shifted much of the value gained through technology investments from saving money to improving individuals' effectiveness in obtaining the information they need and applying it to their work. As a result, the primary focus of IT project justification has moved from the dollars projects save to improvements projects make in the ability of individuals to do their work more effectively. These improvements are often difficult to quantify. In this environment, user acceptance is critical to technology's success. At all levels, and especially with respect to the end user, project sponsors must ensure that users can easily utilize a new system, implement it at their own pace and integrate it with their own work habits.

THE JUDICIARY'S IRM VISION

The creation, collection and transfer of information continues to be critical to the judiciary's mission. The end product of the judiciary is a human decision made after a consideration of facts and law. Seeking out and assessing emerging technologies and applying them to information management in support of the decision making process is the judiciary's driving force for its technology program.

The judiciary is focusing on and moving toward highly efficient, integrated court processes that use IT to accelerate and enhance the effectiveness of communication between the courts, litigants, the bar, and the public. Information technology will provide an economical

judicial system with greater effectiveness, wider access, and enhanced accountability. The judiciary envisions (1) modernizing case management through the use of state-of-the-market technology and refined business processes, including electronic transmission and management of case files; (2) using video telecommunications technologies to facilitate training, conferencing, administration, and judicial proceedings; (3) employing technology to improve the quality and effectiveness of courtroom proceedings; and (4) using the Internet and a judiciary intranet to make publications, information, and services more accessible within the judiciary and to the public.

The IRM vision describes the judiciary's direction in terms of how IT will support and contribute to accomplishing its mission. This vision reflects the judiciary's commitment to using IT as a tool for accomplishing its mission in today's rapidly changing environment and economic climate.

THE JUDICIARY'S IRM MISSION

The adjudicative and administrative work of the federal courts is information-intensive. Ready access to information is critical to the courts' ability to fulfill their mandated responsibilities and serve the public. The IRM mission of the judiciary is to identify, acquire, implement, support, and promote the use of innovative, effective, and efficient IT solutions to meet the information needs of the federal courts (including public access, as appropriate, to court information). The judiciary's IRM mission to provide effective information systems is in direct support of the judiciary's overall mission to preserve and enhance the rule of law by providing to society a just, efficient, and economical mechanism for resolving disputes.

THE JUDICIARY'S IRM GOALS

IRM goals that support the judiciary's IRM mission and IRM vision have been identified. At the strategic level, these goals are supported by IRM initiatives. At the functional level, they are supported by the individual objectives contained in the functional strategy statements (Part B). The IRM goals are as follows:

- GOAL 1: Identify, promote, and implement innovative and cost-effective business practices and supporting IT to meet the information needs of the judiciary.
- GOAL 2: Improve communications with and involvement of the user community to identify, prioritize, and implement IT solutions that meet the requirements of the judiciary within the resources allocated.
- GOAL 3: Acquire, manage, protect, and use information resources through established, effective management practices.
- GOAL 4: Maintain the judiciary's ISA and infrastructure to enable the timely, cost-effective implementation of IT solutions.
- GOAL 5: Ensure effective administration of the judiciary's electronic information, with

particular attention to (1) information security practices; (2) data standards; (3) single-source data capture; (4) efficient sharing of electronic information within the judiciary; and (5) access to court information at a reasonable cost to the judiciary, litigants, the bar, and the public.

GOAL 6: Provide adequate and continuing IT education and training for all judges, judiciary staff, and others who use the judiciary's IT systems.

THE JUDICIARY'S MAJOR IRM INITIATIVES

The strategic planning process resulted in the following initiatives being developed in FY 1997. The current status of these initiatives is described in the plan.

- Initiative 1: Modernize case management through the use of state-of-the-market technology and refined business processes, such as electronic case files systems.
- Initiative 2: Use video telecommunications technologies to facilitate more efficient training, conferencing, administration, and judicial proceedings.
- Initiative 3: Employ technologies to improve the quality and efficiency of courtroom proceedings.
- Initiative 4: Use the Internet and a judiciary intranet on the judiciary's DCN to make publications, information, and services more accessible within the judiciary and to the public.

These four initiatives continue to be the current focus of the judiciary's IT program. These efforts directly affect the judiciary's future ability to meet increasing workloads; fulfill growing demands for public information; and accomplish its mission without sacrificing effectiveness, care for the individual case, and the requirements of justice.

PART A

INFORMATION RESOURCES MANAGEMENT STRATEGIC PLAN

INTRODUCTION

PURPOSE OF THE PLAN

The purpose of the *Long Range Plan for Information Technology in the Federal Judiciary* is to ensure that information resources and technology support the judiciary's mission, goals, and principal strategic objectives. This plan provides a means for the judiciary to express its vision for the future, build consensus for achieving that vision, and track progress. It provides a system for communicating the Information Resources Management (IRM) strategic plan throughout the judiciary, ensuring that all are aware of the IRM vision and plans.

The process of development and implementation of the plan is ongoing and requires the participation of judges and staff throughout the judiciary. The plan (including major acquisitions) provides (1) a basis for implementation of information technology (IT) and (2) justification for budget and staffing resources to start new initiatives and to strengthen current program activities.

CONTENT AND APPLICABILITY OF THE PLAN

The plan consists of two parts: Part A, the IRM Strategic Plan, which describes the vision, mission, and goals of the judiciary's IT program; and Part B, which provides the functional strategy statements provided by each umbrella group. The plan encompasses all IT activities under the jurisdiction of the Judicial Conference Committee on Automation and Technology (the Committee). This includes all IT activities for those organizational entities of the judiciary for which the Director of the Administrative Office of the U. S. Courts (Administrative Office) has procurement authority. The plan is based on and supports published IRM standards and the approved Information Systems Architecture (ISA). The plan applies to all IT activities currently under way, as well as those to be undertaken during the 5-year planning period.

SCOPE OF THE PLAN

The scope of the plan includes the following aspects of IRM as they apply to program activities of the courts of appeals, district courts, bankruptcy courts, probation and pretrial services offices, the Administrative Office, and other judicial services accounts of the judicial branch:

- Information (from creation to final disposition).
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The scope of this plan includes electronic records management but excludes traditional areas of records management, such as copier, mail, and hard copy correspondence management.

DEFINITIONS

A glossary of terms can be found at the end of this document.

DEVELOPMENT OF THE *LONG RANGE PLAN FOR INFORMATION TECHNOLOGY IN THE FEDERAL JUDICIARY*

Pursuant to 28 U.S.C. § 612, the Director of the Administrative Office (the Director) is responsible for preparing and annually revising this plan. The fiscal year updates to this plan are approved by the Judicial Conference of the United States upon recommendation by the Committee. The Committee provides guidance in the development of annual updates. Upon approval by the Judicial Conference, the annual update of this plan is transmitted to Congress by the Director.

PLANNING PROCESS

The FY 1998 update to this plan was developed using the IRM planning process described in volume XIII, chapter IV of the *Guide to Judiciary Policies and Procedures*.

PARTICIPATION BY JUDGES

The Committee requested that updates of this plan involve participation by as many judges as possible. To that end the Director sent a memorandum to all appellate, district, bankruptcy, and magistrate judges inviting them to participate in the development of the FY 1998 update. The relevant umbrella group leadership contacted all respondents and solicited their views regarding the functional strategy statements (Part B of this document).

ASSUMPTIONS

In developing the FY 1998 update to this plan, the following assumptions were made:

- The IT program in the judiciary will rely on state-of-the-market technology rather than state-of-the-art technology.
- To satisfy business needs, users will (1) increase their requests for the development of new information systems and for changes to existing systems; (2) assume a significant role in the definition, development, and operation of information systems; and (3) increase their requirements for access to data owned by others and for the sharing of data across functional or organizational lines.
- The judiciary's operating environment will continue evolving to keep up with changes in technology and new requirements mandated by law.
- The trend toward greater reliance on a data communications infrastructure to access information will continue.
- The security and integrity of all information assets will continue to receive increased attention.
- The need for IT education and support in the judiciary will continue to increase.
- All IT initiatives and courses of action will be implemented in a manner consistent with appropriate legal considerations.
- The overall budget is not anticipated to increase substantially.
- As the judiciary provides more information to the public through the Internet and other technologies, public interest in judiciary information is likely to increase making electronic access the norm, not the exception.
- Available technology, time and space load considerations will dictate greater reliance upon, and migration toward, information technology alternatives to current practices.

- In support of the policy of decentralization, wherever possible each court should consider creating an IT committee or other group to facilitate training and communication regarding IT issues, projects and innovations. Judges and representatives from units within the court should participate to ensure adequate representation and coordination.

These planning assumptions are believed to be valid for the planning period and establish the boundaries within which the IRM vision, mission, goals, and initiatives of this plan were developed.

IRM STRATEGIC PLANNING RELATIONSHIPS AND LINKAGES

Figure 1 on page 5 shows IRM planning relationships and linkages. The relationships form the linkages that are essential to ensuring that this plan and the IT program support the mission of the judiciary and improve the effectiveness of operations in the courts. The *Strategic Business Plan for the Federal Judiciary* provides a broad framework for the annual updates to the *Long Range Plan for Information Technology in the Federal Judiciary*, and is consistent with the *Long Range Plan for the Federal Courts*. The judiciary's IT program is subject to internal and external influences. The IRM initiatives support the IRM goals and are primarily cross-functional. The IRM objectives contained in the functional strategy statements link to the IRM goals.

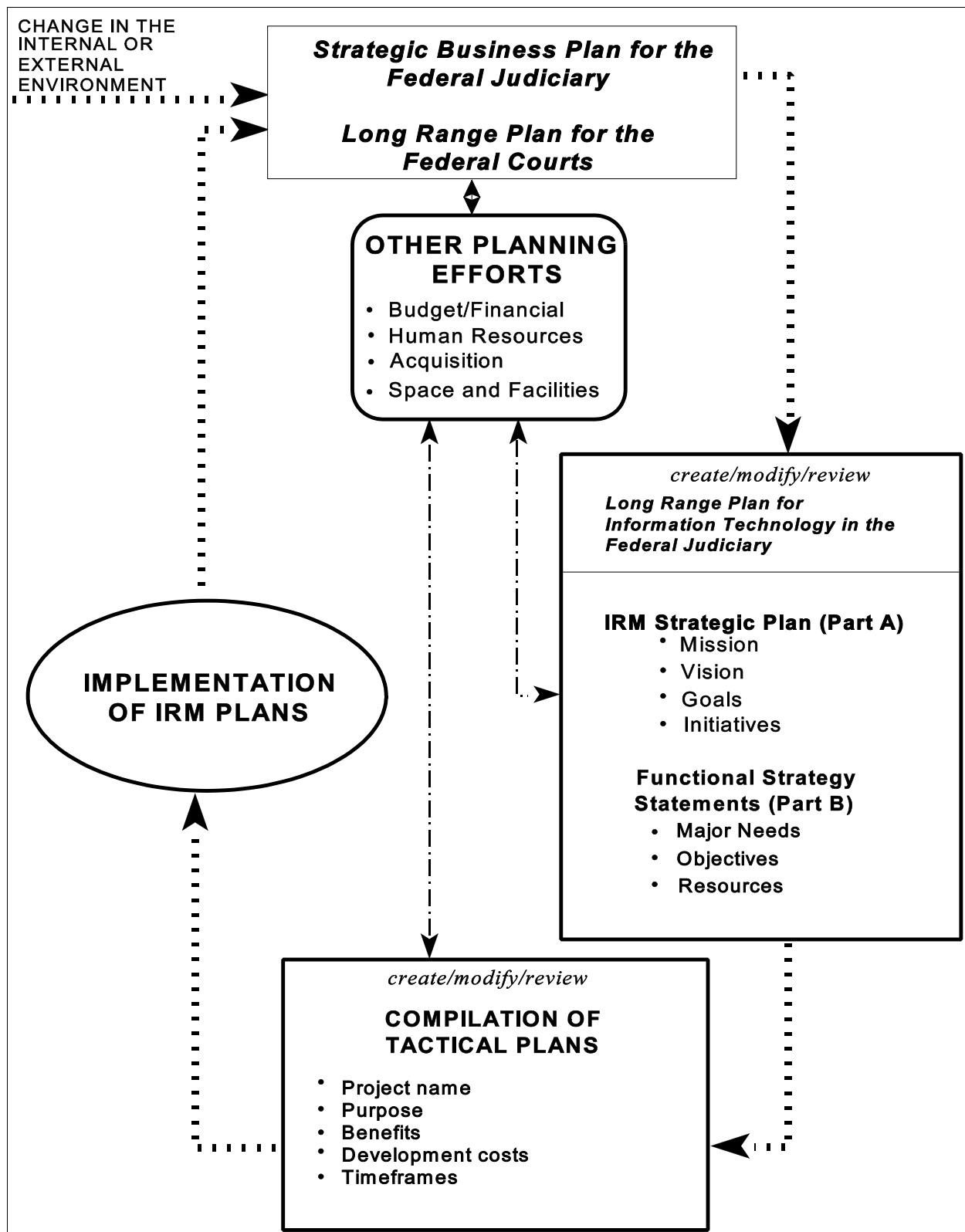


Figure 1.—IRM planning relationships and linkages.

CURRENT IRM ENVIRONMENT

Planning the future of the IT program is contingent upon a thorough understanding of the current IRM environment. Although no organization can completely control its environment, understanding the environment does provide answers to questions such as (1) where the IT program is now; (2) what its strengths, needs, opportunities, and challenges are; and (3) what internal and external influences, policies, and recommendations affect the development of IRM within the judiciary.

The judiciary operates in an information-intensive environment. A large number of its computer systems and applications have been in service for many years. While modernizing existing systems, the judiciary is also trying to provide new and better services to its internal and external customers. Identifying and carrying out IRM initiatives that provide IT to assist employees in fulfilling the judiciary's mission helps move the judiciary toward this goal.

The judiciary, like other public and private enterprises today, is seeking to maximize the benefits of IT and meet the demands of intra and extra-judiciary users who expect more from technology than ever before. Technology users are flooded with information, which they must be able to use in a meaningful way. At the same time, funding for IT is increasingly linked to results. Decisions regarding technology investments must balance economy with effectiveness.

While technology may offer potential economies in areas such as travel, printing, and postage, the personal computer revolution has shifted much of the value gained through technology investments from saving money to improving individuals' effectiveness in obtaining the information they need and applying it to their work. As a result, the primary focus of IT project justification has moved from the dollars projects save to improvements projects make in the ability of individuals to do their work more effectively. These improvements are often difficult to quantify. In this environment, user acceptance is critical to technology's success. At all levels, and especially with respect to the end user, project sponsors must ensure that users can easily utilize a new system, implement it at their own pace and integrate it with their own work habits.

These are important considerations as the judiciary launches new systems to support the FY 1997 initiatives. These systems are aimed at improving the effectiveness of decision makers and achieving efficiencies in case management that may benefit taxpayers as well as litigants. To maximize the return on these investments, the judiciary will need to ensure that these projects provide value to judges and their staff, the bar, and the public. Identifying new ways to evaluate the results of these investments will be particularly challenging. Although it may be possible to identify savings through more efficient case processing and reduced litigation costs, the effectiveness of a judge's decision is beyond quantification. The quality of justice cannot be measured.

Finally, technology products and vendors are proliferating, technical complexity is escalating, and functional demands are expanding. Managing these trends requires a consistent and ongoing approach to designing and developing IT systems. For this reason, the continued refinement and maintenance of the Information System Architecture (ISA) will be critical to the success of the judiciary's IT program.

EXTERNAL ENVIRONMENTAL INFLUENCES

The following external factors influence the IRM program in the judiciary:

- Workload changes resulting from increased case filings and case complexity.
- Advances in technology.
- Industry standards.
- The public's growing interest in and demand for access to electronic court records.
- Requirements for electronic data interchange with state and local governments, other federal government agencies, and the private sector.
- Congressional direction, including appropriations legislation.
- Increasing law enforcement, criminological and penological considerations and demands upon our systems.

INTERNAL ENVIRONMENTAL INFLUENCES

The following internal factors influence the IRM program:

- The judiciary's current technology base.
- IRM standards and processes.
- Major, ongoing IT initiatives.
- Availability of funding and appropriate staffing resources.
- Availability of technical support.
- Availability of training programs.
- Organizational culture and skills—including the reluctance to adopt technological changes.

POLICIES AND RECOMMENDATIONS

Policies and recommendations as adopted by the Judicial Conference that guide the IT program are provided in the appendix.

THE JUDICIARY'S MISSION AND IRM VISION

THE JUDICIARY'S MISSION

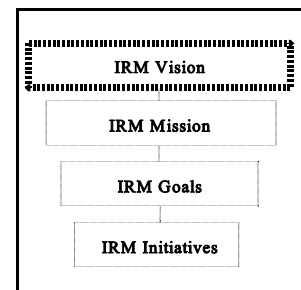
The mission of the federal courts, as referenced in the *Long Range Plan for the Federal Courts* and *The Administration of Justice: A Strategic Business Plan for the Federal Judiciary*, is to preserve and enhance the rule of law by providing to society a just, efficient, and economical mechanism for resolving disputes that the Constitution and Congress have assigned to the federal courts. This mission requires a commitment to conserving the federal courts as a distinct judicial forum of limited jurisdiction in the U.S. system of federalism, leaving to the state courts the responsibility for adjudicating matters that, in the light of history and a sound division of authority, rightfully belong there.

The mission also requires protection of judicial independence to ensure that the judicial branch can (1) carry out its constitutional role in a governmental system of checks and balances; (2) preserve and protect the individual rights and liberties guaranteed by the Constitution; (3) interpret and enforce treaties, federal statutes, and regulations; and (4) ensure that cases are decided fairly and impartially.

THE JUDICIARY'S IRM VISION

The creation, collection and transfer of information continues to be critical to the judiciary's mission. The end product of the judiciary is a human decision made after a consideration of facts and law. Seeking out and assessing emerging technologies and applying them to information management in support of the decision making process is the judiciary's driving force for its technology program.

The judiciary is focusing on and moving toward highly efficient, integrated court processes that use IT to accelerate and enhance the effectiveness of communication between the courts, litigants, the bar, and the public. Information technology will provide an economical judicial system with greater effectiveness, wider access, and enhanced accountability. The judiciary envisions (1) modernizing case management through the use of state-of-the-market technology and refined business processes, including electronic transmission and management of case files; (2) using video telecommunications technologies to facilitate training, conferencing, administration, and judicial proceedings; (3) employing technology to improve the quality and effectiveness of courtroom proceedings; and (4) using the Internet and a judiciary intranet to make publications, information, and services more accessible within the judiciary and to the public.



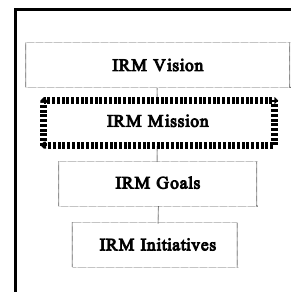
The IRM vision describes the judiciary's direction in terms of how IT will support and contribute to accomplishing its mission. This vision reflects the judiciary's commitment to using IT as a tool for accomplishing its mission in today's rapidly changing environment and economic climate.

The judiciary's IT initiatives are being undertaken to provide better and more efficient ways of communicating; make information and services more accessible to the courts, litigants, the bar, and the public; and to improve the quality and effectiveness of court proceedings. Benefits of these efforts should include more public access to court services and information, more efficient disposition of cases, and economies in the areas of travel, training, printing, and postage.

THE JUDICIARY'S IRM MISSION AND GOALS

THE JUDICIARY'S IRM MISSION

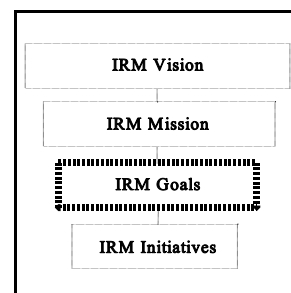
The adjudicative and administrative work of the federal courts is information-intensive. Ready access to information is critical to the courts' ability to fulfill their mandated responsibilities and serve the public. The IRM mission of the judiciary is to identify, acquire, implement, support, and promote the use of innovative, effective, and efficient IT solutions to meet the information needs of the federal courts (including public access, as appropriate, to court information). The judiciary's IRM mission to provide effective information systems is in direct support of the judiciary's overall mission to preserve and enhance the rule of law by providing to society a just, efficient, and economical mechanism for resolving disputes.



THE JUDICIARY'S IRM GOALS

IRM goals that support the judiciary's IRM mission and IRM vision have been identified. At the strategic level, these goals are supported by IRM initiatives. At the functional level, they are supported by the individual objectives contained in the functional strategy statements (Part B). The IRM goals are as follows:

GOAL 1: Identify, promote, and implement innovative and cost-effective business practices and supporting IT to meet the information needs of the judiciary.

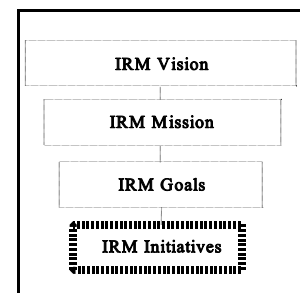


- GOAL 2: Improve communications with and involvement of the user community to identify, prioritize, and implement IT solutions that meet the requirements of the judiciary within the resources allocated.
- GOAL 3: Acquire, manage, protect, and use information resources through established, effective management practices.
- GOAL 4: Maintain the judiciary's ISA and infrastructure to enable the timely, cost-effective implementation of IT solutions.
- GOAL 5: Ensure effective administration of the judiciary's electronic information, with particular attention to (1) information security practices; (2) data standards; (3) single-source data capture; (4) efficient sharing of electronic information within the judiciary; and (5) access to court information at a reasonable cost to the judiciary, litigants, the bar, and the public.
- GOAL 6: Provide adequate and continuing IT education and training for all judges, judiciary staff, and others who use the judiciary's IT systems.

THE JUDICIARY'S MAJOR IRM INITIATIVES

The judiciary's IRM efforts include developing new projects to meet new or expanded business needs as well as maintaining ongoing products and services. These projects can be described in terms of three broad categories:

- **Infrastructure** — providing modern, standardized, state-of-the-market equipment and communications networks and policies to support existing and future court and business applications. Key activities in this area include the Data Communications Network and the Information Systems Architecture.



- **Stewardship** — supporting the judiciary’s role as trustee for its properties, people, and financial resources and its commitment to high-level service. Activities in this area include the Financial Accounting System for Tomorrow, Jury Modernization Project, Criminal Justice Act Panel Attorney Payment System Replacement Project, Integrated Library System, and Personnel Systems Modernization Project.
- **Court Support Systems** — providing better and more efficient ways of communicating; making information and services more accessible to the courts, litigants, the bar, and the public; improving the quality and efficiency of courtroom proceedings; and reducing the judiciary’s primary reliance on paper to conduct its business. Initiatives such as the Electronic Courtroom, Electronic Case Files, Videoconferencing, and the Internet/Intranet support this area.

STATUS OF INITIATIVES

The strategic planning process resulted in initiatives being developed in both FY 1996 and FY 1997. The status of these initiatives is described below.

Status of FY 1996 Initiatives

Initiative 1: Implement the national communications infrastructure (IRM Goals 4 and 5).

By September 1997, nearly 93 percent of the judiciary’s employees will have potential Data Communications Network (DCN) access. Future efforts will focus on completing DCN installations according to the plan approved by the Committee, keeping the network current, and responding to new requirements.

Initiative 2: Continue to improve and promulgate judiciary-wide IRM standards and management processes (IRM Goal 3).

This initiative is complete. Seventy judiciary-wide bulletins, 30 Administrative Office bulletins, and 15 standards were in effect at the end of FY 1997. The Office of Information Technology (OIT) will continue to monitor existing publications and processes for currency and effectiveness and adapt them to new requirements or changes in the overall IRM management principles.

Initiative 3: Define the judiciary’s ISA and migrate to that architecture (IRM Goals 1, 4, and 5).

This initiative is complete. The ISA and policies for administering it have been approved and implemented. OIT will continue to monitor the ISA, keep it current, and adapt it to new

requirements as they occur. A proposal is being developed to establish a regular ISA review and update cycle.

Initiative 4: Implement the National IRM Education and Training Program (IRM Goal 6).

This initiative is complete. The National IRM Education and Training Program has been implemented to decentralize IRM education and training, ensure that information is available on varied delivery methods, implement management controls, and promote teamwork. OIT will continue to refine the program to meet future requirements as needed.

Initiative 5: Implement the National Automation Support Infrastructure Model (IRM Goal 3).

Installation of commercial off-the-shelf software to track and provide responses to IT support questions took place in FY 1997. Standard terms were defined, and training was conducted for Administrative Office staff and personnel from several courts. Judiciary-wide implementation will begin in FY 1998, following the vendor's completion of security modifications.

Initiative 6: Implement the automation awareness program (IRM Goal 2).

This initiative is complete. A program to enhance judiciary-wide awareness of both court and Administrative Office-developed nationally supported projects, products, and services has been implemented within OIT. This ongoing effort includes regular publication of articles in judiciary newsletters, presentations to special audiences, and other efforts to increase the judiciary's awareness of IT projects.

Initiative 7: Complete implementation of the strengthened post-automation review program (IRM Goal 3).

This program was reengineered in FY 1997 so that it can be conducted locally by the court's judges and staff. Major elements of the revised program, renamed the IT Effectiveness Program, have been completed.

Status of FY 1997 Initiatives

Initiative 1: Modernize case management through the use of state-of-the-market technology and refined business processes, such as electronic case files systems (IRM Goals 1, 2, 3, and 5).

The Electronic Case Files (ECF) effort continued to be an important component of modernizing case management with a goal of ensuring that new ECF-capable case management systems are provided to the courts. The ECF team includes representatives from the courts, the Administrative Office, and other interested groups. In FY 1997, the team published a discussion paper and distributed it to a broad audience throughout the court community. Seven additional courts began using the civil and bankruptcy prototype systems, bringing the number of operating prototype sites to nine. Current efforts are focusing on four major tasks:

1. Coordinating the efforts to define the functional requirements of the appellate, district, and bankruptcy case management systems modernization projects;
2. Identifying and seeking resolution to legal, policy, cultural, and other issues that arise during the analysis and discussions of ECF;
3. Contributing to and assessing the progress of the Administrative Office-developed prototype systems; and
4. Ensuring that the above three efforts (and other related efforts) are fully coordinated and that their results are brought together to determine the best course for making ECF systems available to all the courts.

The project is currently on schedule toward its goal of making new, flexible ECF-capable case management systems available to the courts within the next 2 to 4 years. Once those systems are available, individual courts can choose to implement ECF capabilities at their own chosen pace.

Initiative 2: Use video telecommunications technologies to facilitate more efficient training, conferencing, administration, and judicial proceedings (IRM Goals 1, 2, 5, and 6).

Implementation of videoconferencing for prisoner civil rights pretrial hearings and other applications is underway at selected courts based on funding availability and the courts' ability to meet specific criteria. Twenty-one districts have been outfitted with videoconferencing capability; 13 more districts will be added in FY 1998. These sites are being encouraged to use videoconferencing for a variety of administrative and training uses in addition to conducting pretrial hearings. The courtroom technologies initiative (initiative 3), through the Electronic Courtroom Project, also includes evaluating videoconferencing technology to facilitate court proceedings.

Significant progress has been made in implementing a judiciary-wide satellite network to broadcast educational and informational programming from a broadcast studio in Washington, DC, to court sites equipped with satellite downlink antennas. The Administrative Office, Federal Judicial Center, and Sentencing Commission are pursuing plans to provide a variety of programming for this new network. By early 1998, approximately 200 court locations will be equipped to receive satellite broadcasts, and the broadcast network will become operational.

Initiative 3: Employ technologies to improve the quality and efficiency of courtroom proceedings (IRM Goals 1, 2, and 5).

Courts are showing marked increases in the use of technology to produce efficiencies in all areas of case handling and judicial proceedings. Accordingly, the Administrative Office—with assistance from judges, other court staff, federal public defenders, and the U. S. attorneys—has undertaken the Electronic Courtroom Project to study and evaluate in-court use of existing and emerging technologies that show promise for facilitating courtroom proceedings. This study supports the judiciary's IRM vision contained in the FY 1997 update to the *Long Range Plan for Automation in the Federal Judiciary*. Much of the study effort is focused on the use of visual courtroom technologies, primarily evidence presentation and videoconferencing capabilities. Complementing these visual technologies are real-time court reporting and digital-audio recording, access from the courtroom to a variety of office automation services (such as word processing and electronic mail), and case management and computer-assisted legal research databases.

Approximately 35 courts have been identified to participate in the assessment to ensure a representative range of court sizes, case types, and volumes of particular proceedings. Data collection began in June 1997 in courts already equipped with one or more courtroom technologies. Information on in-court usage of the various technologies is being collected through a series of usage logs, questionnaires, and interviews with judges and others participating in proceedings where technologies are used. This project effort will document the costs and technical issues related to the acquisition, installation, operation, and support of courtroom technologies. It will also identify the advantages and disadvantages of using the various technologies and provide information on their impact on proceedings in which they were used. Based upon the results of the study, recommendations will be made regarding the judiciary's acquisition, implementation, and use of courtroom technologies. The results of the study effort, which should be completed in 1998, will become the basis for acquiring and implementing those technologies found to be effective and cost-beneficial.

In addition to the study effort, the Electronic Courtroom Project is collecting information concerning the use, technical capabilities, infrastructure considerations, funding, and procurement sources for the various technologies. A multidisciplinary information center

is being established to provide advice and guidance to courts interested in implementing courtroom technologies. Discussions are also under way to establish a demonstration courtroom and learning laboratory for use in conjunction with the existing Judges Office Automation Training Program in San Antonio, Texas. These training facilities will be used to increase awareness and understanding of the potential uses and benefits of courtroom technologies and to provide hands-on training for judges and possibly other court users.

Initiative 4: Use the Internet and a judiciary intranet on the judiciary's DCN to make publications, information, and services more accessible within the judiciary and to the public (IRM Goals 1, 2, 3, and 5).

During FY 1997, the judiciary established the J-Net, a judiciary-wide intranet site that contains court and Administrative Office information and items of interest. A number of courts have established intranet sites for publishing local court rules, case information, directories, and other internal documents. A study was completed that recommended three access points as the most efficient way to provide secure and efficient access. Three national gateways have been set up to provide all courts with Internet access through a secure environment. In FY 1998, Internet access will be expanded to anyone in the judiciary who requires access. These gateways will also be used by individual courts to implement Internet home pages. Research will also be conducted to determine if these three gateways are the most appropriate vehicle for providing public access to court information.

Conclusion

Four of the seven FY 1996 initiatives are complete: specifically, initiatives 2, 3, 4, and 6. These initiatives pertain to functions that have been incorporated into the ongoing responsibilities of the Administrative Office's Office of Information Technology. They will not be referenced in future updates to the *Long Range Plan for Information Technology*. Future efforts will focus on maintaining the functions established by these initiatives and responding to new requirements as they occur. The major components of initiatives 1, 5, and 7 are expected to be completed in FY 1998.

The four initiatives established for FY 1997 continue to be the current focus of the judiciary's IT program. These efforts directly affect the judiciary's future ability to meet increasing workloads; fulfill growing demands for public information; and accomplish its mission without sacrificing effectiveness, care for the individual case, and the requirements of justice.

The Director has given the Assistant Director for Information Technology an overall leadership role in accomplishing each of the FY 1997 initiatives. Many Judicial Conference committees continue to work in partnership with the Committee on Automation and Technology to ensure there is a judiciary-wide perspective in achieving these initiatives. Similarly, program offices in the Administrative Office are providing additional leadership support for projects and other efforts related to these initiatives.

PART B

FUNCTIONAL STRATEGY STATEMENTS

INTRODUCTION

In late 1992, a structure was developed to ensure user involvement in the automation management process. As part of this structure, umbrella groups were created to (1) foster a partnership between the Administrative Office and the courts, (2) emphasize integration of effort, (3) encourage exploration of ideas, (4) maximize consideration of new solutions, and (5) increase user input and satisfaction. The Administrative Office, in an ongoing effort to improve and optimize user involvement, is currently restructuring the process and structures through which it receives feedback from the courts. Until new processes are established, the umbrella groups will continue to address information technology (IT) issues, set priorities, plan initiatives, and establish objectives to meet business needs within their functional areas. Each umbrella group has described its efforts in the functional strategy statements that follow.

Functional strategy statements contain the following five elements:

1. Current environment (influences such as management issues, workload, and political concerns that affect IT within the functional area).
2. Major needs (weaknesses that may exist in the functional area).
3. Objectives (proposed solutions to the major problems identified).
4. Projects, products and services (specific IT applications).
5. Resources (budget requirements).

The planning process for functional strategy statements is based on the standardized “SWOT” planning approach which assesses the “strengths, weaknesses, opportunities, and threats” that may exist in an organization. This approach also establishes a blueprint or plan for the development, implementation, use, and maintenance of IT to achieve the strategic vision.

In each functional strategy statement, resources are categorized as Operations and Maintenance, which represents the combined costs for maintaining current services in the courts (i.e., existing IT products and services); Enhancements, which identifies all IT projects, as prioritized by the Committee on Automation and Technology, and the estimated resource requirements associated with the projects; or Projected Projects, which provides a placeholder for new concepts or initiatives.

The functional strategy statements link to the goals in Part A of this plan. Umbrella groups have identified their unique objectives and cross-referenced them to their major needs. Projects, products and services are referenced to the specific objectives they support. All projects support one or more of the IT program's key areas: infrastructure, stewardship and court support systems.

References to phases in the descriptions of IT projects, products, and services pertain to the judiciary's automation management process. This process provides a structure within which project managers accomplish the key activities associated with product development, maintenance, and support. These activities are as follows:

- Phase 0—Identification of Need: Define problem or need and present business case justification.
- Phase 1—Definition of Requirements: Conduct joint application design and prepare requirements document.
- Phase 2—Selection of Alternative: Analyze and propose alternatives and choose one.
- Phase 3—Design the Solution: Procure or design.
- Phase 4—Develop and Test the Solution: Develop, integrate, and test.
- Phase 5—Implement and Support the Solution: Install, educate, support, and improve.

Since umbrella groups face similar types of problems, they may be able to develop solutions by sharing information. During phase 2 of an IT project, solutions to common problems may emerge. Thus, by communicating with other relevant umbrella groups during the early stages of phase 2, umbrella groups can avoid spending time independently resolving a problem that other umbrella groups may share.

More detailed information regarding each project will be found in the FY 1998 tactical plans.

ADMINISTRATIVE

CURRENT ENVIRONMENT

The Administrative Umbrella Group oversees an environment that touches all aspects of judiciary operations. It is the foundation upon which program activities depend. If the administrative work is managed effectively and efficiently, more time and resources are available to the mission-critical program work of the judiciary. Because of increased demands for current, accurate information, the administrative environment is challenged with dramatically improving work processes so both staff and time can be used with increased efficiency.

The following external factors influence the environment that the Administrative Umbrella Group oversees: (1) advancing technology, (2) requests for data and information, (3) congressional requirements, and (4) increasing workloads.

The following internal factors influence the environment that the Administrative Umbrella Group oversees: (1) limited staff resources; (2) cumbersome, labor-intensive manual processes; (3) dated automated systems; (4) heightened accountability requirements such as real property inventory tracking, real property cost tracking (e.g., construction, repair, and rents), personnel and payroll tracking, travel costs tracking, and statistical and demographic tracking; (5) increasing requests for information or access to information; (6) decentralization of control and responsibility; and (7) funding limitations.

MAJOR NEEDS

Human Resources Management

1. The personnel and payroll system can no longer meet the requirements of the judiciary and needs to be replaced. The automated payroll system is systemically outdated, and its structural integrity cannot be guaranteed. The system lacks the basic audit capabilities of a payroll system (such as full security, internal controls, and audit trails) necessary to assist with reconciliation of funding plans and the Central Accounting System (CAS). Because documentation does not exist, the judiciary is at high risk if a serious system failure occurs.

Administrative

The Operation/Personnel Data Base System (OPDS) is not fully integrated with the much older payroll system it drives. OPDS serves as the front-end driver of the payroll system. OPDS and the payroll system were not developed under the same architecture standards and do not allow effective management of a paper-intensive processing environment, easy generation of management reports, or adequate support of the personnel and payroll financial audit process.

The current personnel and payroll system does not lend itself to simplifying current or future judiciary business practices. For example, the position-based budget control system does not conform to budget control identifiers used by CAS. Thus, the financial reconciliation process is unnecessarily complicated, costly, and time-consuming.

Additionally, the existing personnel and payroll system does not accommodate all personnel data and related financial information requirements that would help managers make informed human resource decisions. Consequently, many courts have developed their own systems, resulting in discrepancies with and duplication of Administrative Office-maintained data.

The Personnel Systems Modernization Project is scheduled to replace the judiciary's multiple personnel and payroll system with a state-of-the-market Human Resources Management Information System (HRMIS). Until the conversion to HRMIS, the judiciary's existing payroll and personnel system must be made year-2000 compliant and remain fully operational. The necessary modifications to OPDS have already been completed, and year-2000 compliance for the payroll component will be undertaken in FY 1998.

Records Management

2. The manual system for updating, maintaining, and distributing standard forms and documents is both paper- and labor-intensive. It is an expensive system that at times results in duplicate recordkeeping, delays, inconsistencies in dissemination of data and disposal of large quantities of obsolete forms. The judiciary needs to develop a system to eliminate these problems.

Space and Facilities Management

3. The multimillion dollar real-property program is managed manually with outdated and disconnected systems. These systems have been individually developed to solve a specific problem. Since these systems do not interface with each other or with related systems, this results in duplicate and inconsistent data entry as well as redundant data management. The judiciary needs to develop a system to eliminate these problems.

Travel Management

4. At present, an automated Program for Relocation Information and Moving Expenses (PRIME) is used to record and manage relocation expense data. While the regulations are still complex and labor-intensive, this system provides for more effective reconciliation with the data contained in CAS and payroll.

Directories

5. The DIRECT EXPRESS project is to coordinate separate Administrative Office strategies to automate several diverse administrative and mail directories to ensure efficient use of information within the judiciary. No single office in the Administrative Office is responsible for producing and maintaining these different directories. Consequently, there is no general oversight of cost, maintenance, production, and distribution issues. Implementing a single solution will eliminate redundant data entry, streamline maintenance, improve the ability to meet printing schedules, and ensure the provision of current and accurate directory information to judiciary users.

Benefits Information

6. The Benefits Information Project was created to address the serious lack of readily available benefits information to judiciary employees. Currently, personnelists in the Administrative Office and court are overburdened with requests for benefits information and are unable to keep up with the workloads.

OBJECTIVES

1. Continue implementation of a modern, flexible personnel and payroll system. Also critical is the maintenance of the legacy personnel and payroll system, including year-2000 compliance until conversion to the HRMIS is complete (Major Need 1; IRM Goals 1, 3, and 5).
2. Continue improving records management (Major Need 2; IRM Goals 1 and 5).
3. Continue development and implementation of the real-property management system (Major Need 3; IRM Goals 1 and 5).
4. Continue development and implementation of the relocation-expense tracking system (Major Need 4; IRM Goals 1 and 5).
5. Design, create a directory database, and install the application on the Data Communications Network (Major Need 2; IRM Goals 1 and 5).
6. Design a system to provide benefits information to judiciary users on demand (Major Need 6; IRM Goals 1 and 5).

PROJECTS, PRODUCTS AND SERVICES

OPERATIONS AND MAINTENANCE

Records Management System-Barcoding¹. This product tracks the movement of active case file folders within a courthouse, similar to a library check-out system. It also records the archived location of case files, docket sheet binders, and reporter notes sent to the Federal Records Center and prepares the SF-135 transmittal form (Objective 2).

Forms and Guide Automation. The Forms and Guide Automation product consists of two products. One project will reproduce the *Guide to Judiciary Policies and Procedures* on electronic media to improve dissemination of and access to judiciary policies and procedures. A second project will create electronic versions of most of the district, bankruptcy, and probation forms that are centrally stocked in the form warehouses (Objective 2).

¹ Non-funded.

Court Travel Helper. This product helps prepare travel vouchers for court staff and travel authorizations for the Administrative Office staff (Objective 4).

Program for Relocation Information and Moving Expenses (PRIME). This product provides an automated system to record and track relocation data, including payments made to judiciary personnel. PRIME also records and tracks taxes withheld from judiciary personnel for relocation payments received and provides information to payroll for W-2 purposes. An upgraded version is expected to be placed into operation in November 1997 to resolve any problems associated with the year 2000 (Objective 4).

Organization/Personnel Data Base System (OPDS). OPDS is the central automated repository of information pertaining to court, Administrative Office, Offices of Independent Counsel, and District of Columbia public defenders staff. The OPDS system was designed to provide payroll, benefits, and staffing information. Presently, access to the information contained in OPDS is limited to selected individuals within court units and the Administrative Office. This legacy system, along with the payroll system, must be maintained in order to handle payroll and personnel actions until the new HRMIS can be implemented (Objective 1).

Judicial Employees Management System (JEMS) Operations and Maintenance. JEMS is a database that enables users in the Administrative Office to access personnel data for reports and statistical information. This system was developed to obtain and hold key data elements from OPDS and make them available to personnelists and others for data analysis and reporting. This information cannot be obtained otherwise except through requests for programming. Enhancements (principally to provide on-line historical data) are being tested prior to implementation (Objective 1).

Garnishment Information and Tracking System (GARNISYS). This project tracks all child support, alimony, tax levies, and commercial garnishments placed against judiciary and judiciary-serviced employees. This system is an interim effort. Until the new HRMIS becomes available, all garnishment tracking must be performed manually, thus increasing the risk of error as well as the number of staff hours required to do this work (Objective 1).

Health Benefits Form System (HBForm). This project will make the processing of employee health benefit elections more efficient, accurate, and easier to reconcile through the

development of a prototype database. This system will reformat selected health benefit data from OPDS to expedite the transmission of health benefit election forms to the benefit providers (Objective 1).

Judges Retirement Expert Systems (JRES). JRES retrieves personnel information from the Human Resources Division's master database and provides automated calculations to help branch members advise judges and their survivors about retirement and annuity benefits. JRES was developed as part of the Personnel Systems Modernization project administered by the Human Resources Division until May 1995. JRES is now a separate task administered by the Article III Judges Division within the Office of Judges Programs (Objective 1).

Equal Employment Opportunity (EEO). This project updates the methods used by the Employee Relations Office (ERO) to collect and analyze EEO-related information. Existing EEO data fields in OPDS will be used more extensively, although ERO will remain the repository of EEO information. Concurrent with this process, a separate program (located in ERO) will be developed that uses downloaded data from OPDS and HRMIS to provide real-time statistical analysis and reports (Objective 1).

Court Personnel System (CPS) Classification System². An automated classification system has been developed to support the decentralization of the classification function to the courts. This stand-alone system was completed in November 1995. All court units received training on the system at the CPS II training sessions in FY 1996 (Objective 1).

DIRECT EXPRESS³. This project will identify and implement a single automated solution for producing, updating, and distributing directory information, while streamlining and enhancing user accessibility. Currently, five directories—the *Court Directory*, AutoMail, the Thurgood Marshall Federal Judiciary Building directory, the Defender Services directory, and the *Directory of United States Probation and Pretrial Services Officers*—are included in this project. Each is maintained by separate offices using various formats, resulting in overlapping data and redundant data entry. Because these directories are essential reference

² Salaries and Expenses funded.

³ Funding for this project comes from two sources—97 percent from the Salaries and Expenses Fund and 3 percent from the Administrative Office Direct Fund.

tools, the administrative operation of every office in the judiciary will benefit if the process of producing them and presenting data to judiciary employees improves. The goal is to (1) eliminate redundant data entry and maintenance; (2) provide current, accurate directory information to all users; and (3) reduce the cost of printing and distributing the print versions (Objective 5).

SAMCAP Personnel System⁴. This system allows for leave time computations and tracking of positions, EEO, and other personnel data (Objective 1).

ENHANCEMENTS

Personnel Systems Modernization. This project encompasses selection and implementation of HRMIS to meet personnel and payroll processing legal requirements, proper internal control and audit standards, and the need for management information. This system will replace the current personnel and payroll system.

HRMIS is a key stewardship system that will incorporate best business practices from the private and public sectors and enable significant streamlining by providing flexible programming tools to accommodate changes in legislative and regulatory requirements. HRMIS will also:

- provide audit trails and information for accounting reconciliations;
- eliminate or reduce duplicate processing costs such as paper, copying, faxing, and long distance communication charges occasioned by the current centralization of the personnel function;
- reduce errors by enabling one-time entry of data, at its source whenever possible; and
- provide timely and accurate personnel and payroll information in support of management decision making (Objective 1).

Benefits Information Project. The Benefits Information Project will provide judiciary employees with 24-hour access to data on their individual health and life insurance, thrift savings, and retirement benefits. In addition to providing policy information, the system will link to existing personnel data systems to extract and compute individual benefit options. By tapping available technology, the Administrative Office will be able to expand its ability to

⁴ Non-funded.

provide this kind of information by allowing simultaneous access to judiciary employees. Overall, this will create a better and more efficient way of communicating important personal data to our employees and facilitate access when it is most convenient to them (Objective 6).

New Facilities Automation for the Courts System (NewFACTS). NewFACTS updates the old FACTS system to comply with the judiciary's information system architecture and to add functionality. The objective of this project is to provide staff and managers with an information system to administer the judiciary's space management program. Incorporated into this objective are the following goals:

- Manage and distribute locally-generated data to a centrally-managed system.
- Improve the accuracy of data and information pertaining to existing judiciary facilities and their associated rental costs, as well as prospectus and non-prospectus projects that are in progress.
- Improve and facilitate Administrative Office reporting requirements to congress.
- Provide a management tool to facilitate the tracking of space project status, funding, and inventory.
- Enhance accountability for project planning, budgeting, and timely project delivery.
- Monitor and verify notification requirements for space occupancy and relinquishment.
- Automate and integrate phase I of the budget call process into the system (Objective 3).

PROJECTED PROJECTS

Electronic Official Personnel Files. Official personnel files are retained centrally in paper format at the Administrative Office. Some courts also maintain similar personnel files, duplicating the file management work performed in the judiciary. Because of the high level of activity in these files, personnel must constantly file personnel actions, maintain files in proper order, and process file retirements. This is an extremely labor-intensive process. This project would seek a technical solution to reduce the personnel resources performing the work and use technology to extend available information to the courts, eliminating the need to photocopy and mail information. Due to the resource requirements of the current HRMIS project, as well as the fact that the Office of Personnel Management is beginning to examine this need as well, this project is not anticipated to begin for at least two years.

RESOURCES (in thousands)

	<u>FY 1998</u>	<u>FY 1999</u>	<u>FY 2000</u>	<u>FY 2001</u>	<u>FY 2002</u>
Operations and Maintenance					
Products and Services ⁵	\$ 1,192.6	\$ 1,276.6	\$ 1,313.6	\$ 3,364.2	\$ 1,714.3
HBForm	\$ 0.0	\$ 3.0	\$ 3.0	\$ 0.0	\$ 0.0
Enhancements					
Personnel System	\$5,764.3	\$4,514.1	\$4,356.2	\$ 0.0	\$ 0.0
Modernization					
Benefits Information Project	\$ 30.0	\$ 0.0	\$ 0.0	\$ 0.0	\$ 0.0
HBForm	\$ 13.0	\$ 0.0	\$ 0.0	\$ 0.0	\$ 0.0
NewFACTS	\$ 189.7	\$ 82.2	\$ 0.0	\$ 0.0	\$ 0.0
Projected Projects					
Electronic Official Personnel					
Files					

⁵ Included in Product and Services are all projects other than HBForm.

APPELLATE CASE MANAGEMENT AND STATISTICS

CURRENT ENVIRONMENT

The appellate court and circuit units share a common mission and many functions. However, there are significant variations as to how the mission and functions are implemented. At times, these variations are an added challenge when developing national automation projects to meet the requirements of all appellate court and circuit units. As an example, the appellate units have identified needs for a new comprehensive case management and electronic filing system. This will require that individual appellate court units within a circuit reach consensus on the system requirements and that the system be flexible enough to meet the needs of all circuits. To support the goals of the long range plan in developing the next generation systems, the involvement of all circuit units, as well as coordination with district and bankruptcy courts, is critical.

While significant resources will be given to the Electronic Case Files (ECF)/ Modernization projects, maintaining 11 of the 12 Appellate Information Management System (AIMS) will remain a priority. AIMS serves nearly all appellate courts and must continue to be supported while alternatives to AIMS are developed. In the meantime, projects to improve AIMS for the users who demand more from the system as technology improves are necessary. One anticipated project is to review options for improving the form-generation capability of AIMS by better integration with the courts' WordPerfect application.

Several library-related services have undergone significant review and analysis recently. For example, improvements in the Computer-Assisted Legal Research (CALR) program have stabilized those products and improved the delivery of services. Much of the recent work has revolved around improving management information required to identify efficiencies in the lawbook services area. The Integrated Library System (ILS) project and the related effort to complete the decentralization of lawbook purchasing will be the primary focus in FY 1998. These two efforts, when completed, will provide the tools and structure to provide better information for program management and will improve the efficiency of the procurement process. ILS will be installed in modules, with the initial implementation providing lawbook procurement functionality to all circuits by the end of FY 1998. Meeting this objective will be a significant challenge for the Administrative Office, the ILS contractor, and the library staff. Implementation planning began in FY 1997 and every effort has been made to involve the interested parties, as well as to coordinate with the Financial Accounting System For Tomorrow (FAS₄T) implementation.

A new but much smaller-scale project initiated by the Appellate Court and Circuit Administration Division (ACCAD) is a review of alternative electronic methods for providing legal research services to judiciary users. A project to review the potential use of CD-ROM technology in a wide-area-network environment has been initiated. This project has the interest of the user community and holds potential for expanding services at equal or possibly reduced costs.

MAJOR NEEDS

Case Management

1. A new automated case management system should allow all appellate court units (e.g., chambers, staff attorneys, and conference attorneys) to enter and share data or receive reports. AIMS was initially designed to support the clerks' docket functions. There appears to be a broader requirement for automated support than the system now offers. Currently, AIMS and some locally developed case management systems in the various court units overlap and are a drain on resources, due to the cost of maintenance and duplicate data entry. A single case management system in the court of appeals would improve the quality of information and availability of information for the judges, court management, staff, and the public.
2. A new system should provide both timely and accurate case information, including court documents, to geographically dispersed panel members increases the cost and the time required for the decision process. Current processes of electronically mailing or faxing emergency materials to the judges have raised the court's awareness of and expectations for fast delivery of material and timely rendering of decisions. Any new effort should reduce the resource burden of the clerk's office staff.
3. Appellate courts require an improved system to handle court records. The current paper system is a labor-intensive, expensive process for all appellate court units, including chambers. Judges, staff, and the public should be able to easily access records stored in the clerks' offices, without having to physically be present in the office. Improved records management systems reduce the risk of loss or damage, improve access to case information, reduce photocopying and mailing costs, and require less space. The appellate courts require records systems that are integrated with the automated case management system.

Appellate Case Management and Statistics

4. All courts in the federal judiciary should be able to exchange electronic information between court types (e.g., district to appellate) or between the public and appellate courts, thereby requiring duplicate data entry (which increases labor costs) and limiting service to court customers.
5. There should be improved ability to manipulate text in the AIMS system. The current AIMS character editor does not provide functionality that is now common in word-processing editors. This results in poor quality documents, reduced efficiency, increased time to teach staff multiple word-processing editors (PC and UNIX), and documents that generally lack professional appearance.
6. The appellate courts would benefit from a central court calendar system that could improve the efficiency of scheduling panels, meetings, and conferences. The AIMS calendaring module is specific to scheduling hearings only and is only used by a few courts. Current locally developed calendar systems are a mix of manual and automated solutions that result in redundant tracking. A central system could be accessible to interested internal or external users.
7. A new case management system should enable user-initiated, easy, intuitive report generation. Current reporting capabilities are cumbersome and time-consuming and may not provide the desired information.
8. AIMS, in particular, and automation, in general, have given courts the ability to handle increased volumes of work with limited increases in staff. However, the case management process has not been reviewed to determine if the process could better use current technology. Current systems require substantial supervision to ensure quality.

Library Program

9. Libraries must create and maintain bibliographic information that describes legal research materials in libraries, as well as collections held in chambers and other court offices. This information could be tracked more efficiently in a contemporary library system that would reduce repetitive data entry, result in fewer errors, have lower maintenance costs, and be easier to use than existing custom-designed systems.

10. Implementing a standard integrated library system to both procure and inventory law books, serials, and other research materials, would improve the capability to produce reports that are reliable, accurate, and timely. Improved report capabilities would assist in managing this program with an inventory estimated at over \$1 billion and new expenditures of \$35 million each year.
11. Improved data on the library collection would reduce the risk of inefficient expenditures for library materials.
12. Improved accountability for property and financial activity is required. Electronic data exchange with the new accounting and finance system in the judiciary is essential.

Computer-Assisted Legal Research

13. Computer-Assisted Legal Research (CALR) is essential to the legal research needs of judges, law clerks, librarians, and other court personnel. Currently, various levels of support for CALR—CALR coordinators, local and circuit-wide automation personnel, CALR contractors, and Data Communication Network (DCN) contractors—are available to the judiciary. There is a growing need to provide centralized, customized technical support and ensure that judiciary users are made aware of the resources and support available. In addition, there is a need to incorporate changing technologies, such as Windows 95, as they affect the use of CALR.
14. All judiciary users should have access to CALR via the DCN.
15. All judiciary users, with requirements to do legal research should have adequate access to all necessary on-line legal research and administrative information not currently available on Westlaw and Lexis-Nexis (e.g., GPO Access, FedWorld, library catalogs, and General Services Administration procurement).
16. The procurement and use of CD-ROM legal materials should be expanded. Currently, the judiciary is unable to take advantage of economies of scale when procuring CD-ROM products for the entire judiciary, and there are significant challenges associated with installing and maintaining individual CD-ROM hardware when networked applications are not feasible. In addition, licensing restrictions prohibit or limit network use of certain materials on CD-ROM.

Communication

17. All appellate court units must find more cost effective means of communicating and conducting business across large geographical areas. The travel costs for litigation and administration in the court of appeals are increasingly expensive. Panels and *en banc* court sessions require travel for judges and staff. The work of court motions panels often requires travel, some of which may be unrelated to regular court sessions. The Conference Attorney/Settlement Attorney Program in some courts requires personnel to travel to meet with litigants and to educate the bar about the program. The administrative work of the courts has increased, requiring regular meetings of the courts of appeals judges and circuit councils, plus attendance at Judicial Conference meetings and committee meetings. Some appellate clerks' offices and libraries have divisional offices or satellite locations. The time required and expense of travel to these locations limits the interaction between staff and the unit executive.
18. The judiciary's telecommunications network (i.e., DCN) must reach all remote circuit judges' chambers in order for these offices to receive the advantages of improved case management and office automation systems.
19. The clerks, judges, and circuit staff require external electronic communication capability to reach agencies and other parties with which the court must communicate (e.g., Department of Justice, and state Attorney General Offices).
20. The circuit executive offices and other appellate court units must identify more efficient methods for distributing information (e.g., local rules, circuit council information, and slip opinions) throughout the circuit and receiving and maintaining information and publications from the Administrative Office (e.g., *Guide to Judiciary Policies and Procedures*, court directory, and *Long Range Plan for Automation in the Federal Judiciary*).

OBJECTIVES

1. Develop a comprehensive appellate case information system that supports electronic filing, storage, tracking, retrieval, and transmission services and integrates appellate court units as appropriate (Major Needs 1–8; IRM Goals 1, 2, and 5).

- a. Continue working with the Appellate Modernization Work Group to review work process efficiency issues and suggest alternatives or changes in process via process engineering methodology.
 - b. Analyze each court unit's requirements for information tracking. Consider how shared information could reduce costs, improve processing time, and increase access to information.
 - c. Review existing court unit applications that they have developed, and look at local modifications made to AIMS.
 - d. Create a comprehensive appellate requirements analysis document that will provide a baseline for comparing alternative systems.
 - e. Review alternate system solutions that meet the defined requirements, and recommend an approach(es) that meets the needs of the appellate courts.
2. Define requirements for improved word-processing capability as part of the appellate modernization effort to ensure it is fully integrated with the case management system (Major Needs 5 and 8; IRM Goals 1, 2, and 5).
 - a. Develop specifications for word-processing programs that could be included in modernizing or reengineering the appellate information system.
 - b. As an interim measure, review alternative word-processing programs that could be incorporated into the existing UNIX systems.
3. Develop a consensus on the need for and requirements of a centralized calendar system within each court of appeals (Major Needs 6 and 8; IRM Goals 1, 2, and 5).
4. Maintain existing services and associated automation systems at the current and enhanced operating level until we replace or no longer require the existing systems (Major Needs 1 and 8; IRM Goals 1, 2, and 6).
5. Complete installation of the Integrated Library System (Major Needs 9–12; IRM Goals 1, 2, and 5).
 - a. Finalize and monitor the ILS implementation schedule for 12 circuit installations.
 - b. Complete decentralization of lawbook procurement.

- c. Develop specific management report formats that the new ILS system will produce after implementation.
6. Develop a support plan for CALR. Define help desk requirements, assign responsibility for functions between the AO and the CALR coordinators, and allocate necessary resources (Major Need 13; IRM Goals 1, 2, 3, and 6).
7. Work with the Office of Information and Technology and courts to complete the DCN installation to enable high-speed access to CALR in all court and chambers locations. Through umbrella and user groups, continue to express concern that the DCN be capable of supporting applications such as CALR, ILS, and Internet/Intranet (Major Needs 14, 15, and 18; IRM Goals 1 and 4).
8. Monitor videoconferencing applications in the courts of appeals, and if successful, develop strategies for encouraging its introduction to other courts of appeals (Major Need 17; IRM Goals 1, 2, and 5).
9. Support Administrative Office and local court initiatives to expand Internet/Intranet access to all staff; and pilot applications that expand external communication, offer on-line research capabilities, and improve public access to court information (Major Needs 15, 18, 19, and 20; IRM Goals 1, 2, and 5).
10. Establish an ad hoc working group to identify needed legal research materials not available on CALR that can be licensed as CD-ROMs or as intranet publications; explore national procurement options; research network licensing considerations; and examine technical issues related to these alternatives (Major Needs 15 and 16; IRM Goals 1, 2, and 5).

PROJECTS, PRODUCTS AND SERVICES

OPERATIONS AND MAINTENANCE

Appellate Case Applications-AIMS. AIMS is a decentralized, UNIX-based software application for automated case management. AIMS provides electronic docketing, report generation, noticing, calendaring, and the capability to develop panels. It also provides judicial statistics for transmission to the Administrative Office and for local court use (Objective 4).

LIBRA II. LIBRA II is used by the Administrative Office and some circuit library staff to order and pay for books and serials for chambers and libraries and to maintain accurate inventories of collections. LIBRA II will continue to be maintained and user support provided until the ILS package is implemented (Objective 4).

Computer-Assisted Legal Research (CALR)⁶/Federal Library Information Network Office (FEDLINK). CALR offers access to databases providing a wide range of legal research materials, including case law, statutes, rules, and regulations, as well as newspapers, periodicals, law reviews, and treatises. The judiciary accesses these services through contracts for CALR services awarded through a competitive procurement (Objectives 6, 7, 8, and 9).

The judiciary procures nonlegal electronic database services, required in circuit libraries and at the Administrative Office, through the Federal Library Information Network Office (FEDLINK) affiliated with the Library of Congress. FEDLINK acts as a contract and procurement agent for federal libraries.

Slip Opinion Printing. This project involves the electronic transmission of final published and unpublished opinions to a commercial printer for proofreading, reproduction, and distribution. The Administrative Office assists each circuit in awarding a contract for these services. The Judiciary Information Technology Fund (JITF) is the source of funding for this ongoing project. In 1996, funding was transferred from the Salaries and Expense account to the JITF. There is no corresponding Major Need or Objective.

Appellate Bulletin Board System (ABBS)⁷. ABBS is a menu-driven interface for public dial-in access to electronic appellate court information, including the full text of recently published opinions, docket sheets, court calendars, local rules and procedures, press releases, and general notices selected by each appellate court for electronic distribution (Objective 4).

Appellate Voice Information System (AVIS)⁸. Development and testing of AVIS

⁶ Salaries and Expenses funded.

⁷ Electronic Public Access (EPA) fee funded.

⁸ EPA fee funded.

was completed in FY 1996, and approximately half of the courts have installed it, with more soon to join them. AVIS provides free access to basic docket information via touch-tone phones, using a digitized voice to provide the requested data. Each court of appeals can determine the data to be provided to the caller and may add general announcements (Objective 4).

ENHANCEMENTS

Integrated Library System (ILS). ILS consists of a series of interrelated programs that automate library management and service operations. The ILS requirements include support for the following functions: acquisitions, cataloging, circulation, serials control, report generation, and on-line catalog. A contract was awarded in August 1997. Implementation will begin early in FY 1998, with priority given to installing the procurement functions in all circuits prior to installation of the remaining functions. It is estimated that all procurement functions will be installed in FY 1998, and it will take up to two years to complete the installation of all ILS modules in all circuits (Objective 5).

Electronic Case Files (ECF)/Appellate Case Management Systems Modernization. The appellate project is linked with similar efforts in district and bankruptcy courts for the purposes of defining requirements and reviewing alternatives. A large group of appellate court staff from all units is involved in the Appellate Case Management Systems Modernization Work Group. Planning work has begun to develop the Requirements Analysis document (Objectives 1, 2, and 3).

PROJECTED PROJECTS

Appellate Information Management System (AIMS)/Word-Processing Improvement. This project will facilitate the integration of WordPerfect software with the AIMS application to enable the user to modify and print standard form documents in WordPerfect using case data extracted from AIMS (Objectives 2 and 4).

Legal Publications on the Judiciary's Intranet. This project will examine licensing publications to be loaded on the Administrative Office's intranet file server, where they can be accessed by judiciary users through Web browser software. This approach could provide broad access to electronic publications not available on the CALR databases. The advantage over individual CD-ROM servers is that the need for

systems support throughout the courts is minimized, yet this approach will provide multiple users with simultaneous access to information previously unavailable electronically in each court location (Objective 12).

Videoconferencing. This project involves monitoring and evaluating the results of the Second Circuit's videoconferencing effort and follows the Tenth Circuit's implementation of a videoconferencing prototype in several locations. The appellate project will support these and any additional court projects through sharing of information (Objective 10).

RESOURCES (in thousands)

	<u>FY 1998</u>	<u>FY 1999</u>	<u>FY 2000</u>	<u>FY 2001</u>	<u>FY 2002</u>
Operations and Maintenance					
Products and Services	\$ 3,048.5	\$ 2,979.3	\$ 3,052.3	\$ 3,074.7	\$ 3,099.2
CALR ⁹	\$ 7,860.0	\$ 8,860.0	TBD	TBD	TBD
Enhancements					
ILS	\$ 965.0	\$ 665.0	\$ 330.0	\$ 0.0	\$ 0.0
Electronic Case Files/ Appellate Case Systems Modernization	\$ 400.0	\$ 400.0	TBD	TBD	TBD
AVIS ¹⁰	NA ¹¹	NA	NA	NA	NA
Projected Projects					
AIMS/Word-Processing Improvement Legal Publications on the Intranet Videoconferencing					

⁹ CALR is funded out of Salaries and Expenses for the purpose of budget formulation, deposited into the JITF for purposes of budget execution. This estimate has not been updated. New figures must be added.

¹⁰ EPA funded.

¹¹ Note: NA = Not Applicable

BANKRUPTCY CASE MANAGEMENT AND STATISTICS

CURRENT ENVIRONMENT

Elements of bankruptcy court administration and case management are supported by the automated court support systems projects and products itemized below. Additional automated applications critical to bankruptcy court administration include those related to infrastructure and stewardship areas, such as budget and finance, personnel, and office automation. All projects are designed to meet the goals of cost savings and administrative efficiencies.

MAJOR NEEDS

1. **Adequate scheduling tool:** The majority of bankruptcy courts require an adequate real-time scheduling tool that is fully integrated with their electronic case management system. Such a system must also include a fully integrated personal scheduling tool for judges. Meeting this need would substantially reduce or eliminate delay, errors, and duplicative efforts by court staff and would increase the productivity of the judiciary's limited human resource allotment.
2. **Adequate information management:** Automation system deficiencies in the majority of bankruptcy courts adversely affect the real-time, user-friendly and reliable receipt, input, access, use, secure storage, and retrieval of court information records by all internal and external users. Such deficiencies result in delays, redundant efforts, unnecessary costs, data integrity loss, and compromised data security in case management and court administration (e.g., budget and finance, personnel, office automation, and public access).
3. **Effective resource utilization:** Bankruptcy courts lack a common, fully integrated automated system for case management and court administration. Currently, there are two automated bankruptcy case management systems—Bankruptcy Automation Project (BANCAP) and National Integrated Bankruptcy System (NIBS)—and multiple administrative applications performing similar functions. The result is redundant training, maintenance, and support, as well as users' inability to rapidly and easily exchange common information records and data elements. These situations result in an inefficient use of the judiciary's limited resources.
4. **Adequate database management system:** The majority of bankruptcy courts are

effectively at risk by having to rely on a commercially unsupported version of the database management system (UNIFY 4.0). Such reliance basically eliminates the courts' opportunity to take advantage of emerging technologies and client-server applications due to the inability to easily and directly access their live databases and each data element. It also increases the difficulty of report creation and formatting. In addition, the continued reliance on UNIFY 4.0 can cause system capacity difficulties and delay or eliminate the ability to enhance the BANCAP system until a common case management system can be developed and deployed (which will also require a new database management system). Finally, that reliance increases the potential amount of resources necessary to maintain BANCAP.

5. **Consistent levels of support for national applications and adequate support of locally developed applications distributed nationally:** National application support is split among different divisions and locations, leading to delays in problem resolution, lack of clear direction for court automation staff, and coordination difficulties when dealing with integration and operational issues. There is also an ongoing need for a coordinated, funded program for dissemination and support of locally developed applications.

OBJECTIVES

1. Provide the judiciary with all assistance required to ensure the effective and economical implementation of its information technology (IT) goals (Major Need 2; IRM Goals 1–7).
2. Develop a scheduling application that will provide judges, court staff, and the public with real-time schedule information integrated with case information, and make it available for use in all bankruptcy courts (Major Need 1; IRM Goals 1, 2, 4, and 7).
3. Take the first steps in solving Major Needs 2 and 3 by using techniques such as facilitated joint application design sessions, to (a) develop applications and processes to improve and enhance the use of technology in bankruptcy court operations; (b) develop a partnership with judges, clerks, and operations staff to create an ongoing program of improvement, consistently working toward the broader goals of the Electronic Case Files (ECF)/Systems Modernization Project, in a series of modular accomplishments; and (c) develop a plan to work with representatives of all appropriate umbrella groups to efficiently and economically define, develop, and deploy new programs and applications (e.g., develop requirements for a common case management system) through the automation management process (Major Needs 2 and 3; IRM Goals 1, 2, 4, 5, and 7).

4. With the Office of Information Technology (OIT), provide easy, direct access to the full, live BANCAP database and all data elements to increase the ability to readily use client-server applications (e.g., for new application development and easy, rapid report generation) (Major Needs 1–5; IRM Goals 1, 2, 4, 5, 6, and 7).
5. Continue testing version 1 of Electronic Bankruptcy Noticing (EBN), and deploy it to all Bankruptcy Noticing Center (BNC) courts during FY 1998 (Major Need 2; IRM Goals 1, 2, 4, and 5).
6. Complete testing and initiate deployment of the BANCAP Mirror system and provide external users of bankruptcy courts with real-time access to all relevant information in a court's case management system. Continue development, expansion, and user-friendliness of public access capabilities—for example, the digitized Voice Case Information System (VCIS) and Public Access to Court Electronic Records (PACER) (Major Need 2; IRM Goals 1, 4, 5, and 7).
7. Participate as a partner in the judiciary's ECF/Systems Modernization Project (Major Needs 2, 3; IRM Goals 1, 2, 4, 5, and 7).
8. With the Office Automation and Networks Umbrella Group, identify requirements for and provide real-time and accurate information record interchanges among internal and external users (e.g., analysis of Internet and intranet usage). Seek use of Electronic Public Access (EPA) funds regarding information record interchange with external users (Major Needs 2 and 3; IRM Goals 1 and 2).
9. With OIT, (a) identify and provide adequate database management systems, operating systems, hardware and software, and timely upgrades to provide for automation needs in bankruptcy courts; (b) monitor the effectiveness of database management systems, operating systems, hardware, and software to ensure the timely identification and provision of upgrades and new technologies; and (c) evaluate implementation approaches to stay abreast of emerging trends in information technology and ensure that the courts continually receive the best possible hardware and applications solutions to their requirements (Major Needs 1–5; IRM Goals 4, 5, and 6).
10. Efficiently administer this umbrella group's portion of the matching grant program to encourage participation in the program and maximize resources available to grant applicants (Major Needs 2, 3, and 5; IRM Goals 1, 2, and 5).
11. Proactively assist the Technology Enhancement Office with the development of electronic data interchange standards required for the electronic interchange of

bankruptcy court information records among users (Major Needs 2 and 3; IRM Goals 1, 2, and 7).

12. Develop a support structure for the three courts participating in the Claims Imaging subproject (Major Needs 2 and 3; IRM Goals 1, 5, and 7).
13. Continue participation in the Electronic Public Access (EPA) Program Project to implement a national application to provide rapid, easy access to basic national court statistical and case information records from a single database (Major Needs 2 and 3; IRM Goals 1, 2, 5, and 7).
14. Continue the modification request processes for case management systems and related applications until an enhanced common case management system is developed and deployed (Major Need 2; IRM Goals 1, 5 and 6).
15. Continue the umbrella group research and development grant program to foster innovation and encourage local court initiatives to develop cost-effective uses of IT (Major Need 5; IRM Goals 1, 5, and 6).
16. Initiate a project to replace the NIBS database management system with a currently supported version to facilitate the development, testing, and incorporation of common graphical user interface modules designed for use in both the NIBS and BANCAP applications (Major Needs 1–4; IRM Goals 4, 5, and 6).

PROJECTS, PRODUCTS AND SERVICES

OPERATIONS AND MAINTENANCE

Bankruptcy Noticing. Bankruptcy noticing involves enhancement of the noticing function required of bankruptcy courts. One resulting project is BNC, which is a national center for production of bankruptcy notices (Objective 15). Another project is Electronic Bankruptcy Noticing (EBN), which provides for notices to be served electronically (Objective 5).

Bankruptcy Case Applications (BCAP). BCAP is a compilation of software applications that bankruptcy courts can use. Related subsystems include the following:

- **BANCAP.** A UNIX-based Integrated Case Management System (ICMS)

application used in 71 bankruptcy courts for case management. It provides electronic docketing, case management, reporting, noticing, and query capabilities. This product includes the following modifications and functions: MDocket, Solaris Conversion, and Year 2000 (Objective 15).

- **Public Access to Court Electronic Records (PACER).**¹² A system that provides the public with electronic access to selected ICMS case information from a court-based PC. This product includes the PACER Mirror application which improves the security of the PACER system (Objectives 6 and 15).
- **Integrated Case Management System (ICMS) Case Assignment System.** An application for the random assignment of cases to judges (Objective 15).
- **Voice Case Information System (VCIS).**¹³ A computer-generated voice response system that allows the public to obtain selected ICMS case information using a touch-tone telephone (Objectives 6 and 15).

National Integrated Bankruptcy System (NIBS). NIBS is a DOS-based software application used in 21 bankruptcy courts for case management. This system provides electronic docketing, case tracking, reporting, noticing, and query capabilities (Objective 15). Related applications include the following:

- **U.S. Trustee/Bankruptcy Administrator Interface.**¹⁴ A program that extracts selected case data from the NIBS database daily for downloading to the appropriate U.S. trustee or bankruptcy administrator office (Objective 15).
- **Voice Case Information System (VCIS).**¹⁵ Computer-generated voice response systems that allow the public to obtain selected NIBS case information using a touch-tone telephone (Objectives 6 and 15).

¹² Electronic Public Access (EPA) funded.

¹³ EPA funded.

¹⁴ Department of Justice funded.

¹⁵ EPA funded.

- **Public Access to Court Electronic Records (PACER).**¹⁶ A system that provides the public with electronic access to selected case information maintained within the NIBS case management system (Objective 16).

Bankruptcy Administrator Tracking System (NewBATS). NewBATS is a DOS-based case management system that allows bankruptcy administrators to manage their cases and oversee the trustees' work. NewBATS can download case opening information from BANCAP and NIBS (Objective 15).

ENHANCEMENTS

Electronic Case Files (ECF)/Bankruptcy Case Management Systems Modernization. The ECF/Bankruptcy Case Systems Modernization effort was initiated to provide users with a common, flexible, and fully integrated management system to reduce manual and redundant data entry and to enhance efficient processing of case management and court administration data. It is anticipated that this goal will be accomplished modularly. The work and materials generated by the ECF/Bankruptcy Case Systems Modernization will be used in the overall enhancement of IT in bankruptcy courts (Objectives 1, 3, 4, 7, 9, 11, 12, 17, and 18).

PROJECTED PROJECTS

National Integrated Bankruptcy System (NIBS) Database Management System Replacement. This project will replace the NIBS database management system with a currently supported version to facilitate the development, testing, and incorporation of common graphical user interface modules designed for use in both the NIBS and BANCAP applications (Objective 18).

National Integrated Bankruptcy System (NIBS) Communication Package Replacement. This project will be initiated in FY 1998 to provide a nationally supported communications software package and a standard public access system for the NIBS courts (No Objective).

National Integrated Bankruptcy System (NIBS) Mirror Enhancement. The

¹⁶ EPA funded.

NIBS Mirror Enhancement Project will provide enhanced security for the NIBS bankruptcy courts' case management system by removing public access to the live database (Objective 6).

RESOURCES (in thousands)

	<u>FY 1998</u>	<u>FY 1999</u>	<u>FY 2000</u>	<u>FY 2001</u>	<u>FY 2002</u>
Operations and Maintenance					
Products and Services	\$14,263.0	\$15,358.1	\$15,446.7	\$15,545.8	\$15,647.7
Enhancements					
ECF/Bankruptcy Case Management Systems Modernization	\$ 400.0	\$ 400.0	TBD	TBD	TBD
Projected Projects					
NIBS DBMS Replacement					
EPA Projects					
NIBS Communication Package Replacement					
NIBS Mirror Enhancement					

CHAMBERS AND COURTROOM

CURRENT ENVIRONMENT

The Chambers and Courtroom Umbrella Group oversees an environment that touches all aspects of judiciary operations. It is the foundation upon which program activities depend. Because of increased demands for current and accurate information, the chambers and courtroom environment is challenged with the task of dramatically improving access.

The following external factors influence the environment that the Chambers and Courtroom Umbrella Group oversees: advancing technology, requests for data and information, congressional requirements, and increasing workloads.

The following internal factors influence the environment that the Chambers and Courtroom Umbrella Group oversees: limited time and staff resources, cumbersome and labor-intensive manual processes, dated automated systems, increasing need for access to information, increasing need for IT training and sharing of IT information and innovations, and funding limitations.

MAJOR NEEDS

With ever-expanding workloads and reduced staffing and funding levels, the amount of time available for judges to devote to any one matter dwindles. Time has become the court's most scarce resource. To the extent that automation and technology can reduce the time judges and staff need to obtain and use essential information, the more time they can spend on the basic business of the courts—decision making.

1. A lack of knowledge, understanding, and skills related to information technology (IT) has prevented many federal judges and staff from fully using the automation equipment and capabilities available to them.

Ongoing automation training specifically geared to judges' work is available within financial restraints. Alternatives in education and training are needed. Most judges and chambers personnel have not received formal automation training, and court automation support staff need to be adequately educated about the needs of chambers. The potential for IT to benefit chambers personnel depends on how well-schooled the users are and how information is disseminated.

Likewise, the potential for technology to benefit chambers personnel depends on the promotion of innovative ideas so that productivity-enhancing solutions can be widely

shared among users. Indeed, many creative judges and judiciary staff have devised applications of automation that would benefit their colleagues if only they were aware of these innovations. Therefore, to improve the technical skills of judges and staff, and to increase their awareness of the benefits of technology, automation education and training need to be continually improved, supported, and promoted.

2. Although all courts have implemented automated docketing systems, all judges and chambers staff do not have quick access to current case-related information to monitor the progress of cases and to determine appropriate courses of action. Even with the implementation of Chambers Access to Selected Electronic Records (CHASER), judges and staff typically must rely on the original case file folder maintained and stored in the clerk's office. Moreover, to obtain any special reports regarding their assigned or referred cases, judges must request a customized report from the clerk's office. Often, the waiting period for information from the clerk's office is lengthy. And then the information must be validated to ensure there are no discrepancies between the data maintained in the clerk's office and the data maintained in chambers. Further, the full range of case management information needed is not available to all judges.

To assist with day-to-day case management activities, judges and staff need information on a variety of critical case-related details to facilitate case management techniques and methods designed to maximize the potential for efficient prioritization and disposition of cases. That is, judges and staff must quickly and effectively pinpoint matters that need judicial attention and maintain scheduling and calendar control. The information that is collected and stored in the clerk's office should be more readily available for shared use throughout the court.

Moreover, judges and staff need a case management system that helps judges use their time efficiently. The traditional court calendar does not facilitate efficient time management. Not only activities that are automatically triggered from the court calendar and docketed events, but also associated reminder or tickler lists, spontaneous setting of hearings, and similar time management tools should be an integral part of the court's automated case management system.

3. The federal courts can provide more timely access to case management information with the transition to electronic case files (ECF). A fully developed ECF system needs to capture documents at the earliest possible point. The system needs to contain everything already in a case file as well as a court's internal case-related documents. In addition, it must provide linkage between and among other court information systems and legal research sources. Such record keeping will be most effective when fully accessible throughout the judiciary.

4. Finally, innovative technologies are generally unavailable to judges in their courtrooms. Although several courts have made some progress locally, significant variations in courtroom technology exist among different courts and even within individual courts. Most judges are not able to take advantage of courtroom technology tools to enhance the efficiency of courtroom processes. Litigants' needs are changing, and advances in technology demand technological improvements in the judiciary's courtrooms. Moreover, faced with the need for greater productivity and efficiency, there is an escalating trend toward greater demand for a range of technologies to enable judges to make decisions faster, in the courtrooms as well as in chambers.

OBJECTIVES

1. Continue to provide and expand automation education and training for judges and staff by exploring cost-effective training alternatives to encourage full use of existing automation capabilities. Continue to explore ways in which automation can be employed in chambers fully and productively, and create a catalog of automated techniques, tools, and procedures for distribution to all judges (Major Need 1; IRM Goal 1).
2. Continue to develop methods to facilitate sharing of information between chambers and the clerk's office and among all courts. Develop enhancements to CHASER (District and Bankruptcy) to include scheduling and calendar control modules. In cooperation with other relevant advisory groups, initiate a project to modernize automated civil, criminal, and bankruptcy case management to include ECF and full integration of all federal court case information systems (Major Need 2; IRM Goals 1, 2, 5, and 6).
3. Explore the potential uses of automated systems and applications in the performance of various courtroom processes, and make recommendations to adopt the use of these systems to improve the effectiveness of courtroom functions and activities (Major Need 3; IRM Goals 1, 3, 5, and 6).
4. Encourage innovative technological solutions for specified business problems faced by the courts through the implementation of a matching grants program (Major Need 3; IRM Goals 1, 2, 5, and 6).
5. Encourage and support the creation of technology committees within each district to facilitate training and communication with respect to IT issues, projects and innovations (Major Need 1; IRM Goal 6).

PROJECTS, PRODUCTS AND SERVICES

OPERATIONS AND MAINTENANCE

Judges Office Automation Training. This is an automation training program to help judges and chambers staff become more proficient in computer use (Objective 1).

District Chambers Access to Selected Electronic Records (CHASER).

District CHASER allows judges and staff, while in chambers, to obtain case management information contained in the Integrated Case Management System (ICMS) and to produce a variety of reports (Objective 2).

Bankruptcy Chambers Access to Selected Electronic Records (CHASER).

This CHASER project will allow bankruptcy judges and staff, while in chambers, to obtain case management information contained in ICMS and to produce a variety of reports. Full deployment is pending NIBS development (Objective 1).

ENHANCEMENTS

Electronic Case Files (ECF)¹⁷. This joint initiative will develop prototypes, case management system requirements, and legal and policy issues relevant to funding and implementation of the appropriate technology (Objective 2).

Electronic Courtroom. This project will develop guidelines for use by courts wishing to apply technology to facilitate courtroom processes (Objective 3).

¹⁷ Currently, funds are distributed from the ECF/Case Management Systems Modernization projects.

Magistrate Judge Statistical Reporting System (MJSTAR). The MJSTAR project will integrate statistical reporting for magistrate judges with ICMS and the Central Violations Bureau, allowing for elimination of the JS-43 monthly workload reporting form and documentation of hours spent with parties and in court proceedings (Objective 1).

Judges Automation Clearinghouse (formerly known as Judges Automation Catalog). This project will define a process that the judiciary can follow to systematically collect, analyze, and distribute chamber innovations. The program will ensure that judges and staff are aware of the best products and business practices used throughout the judiciary and are able to select the combination that best suits their own chambers management style (Objectives 1 and 4).

PROJECTED PROJECTS

Enhanced District CHASER. This project seeks to establish District CHASER use through the judiciary's Internet/Intranet to take advantage of the improved user interface, ease of access, and other modern tools available through Internet/Intranet.

RESOURCES (in thousands)

	<u>FY 1998</u>	<u>FY 1999</u>	<u>FY 2000</u>	<u>FY 2001</u>	<u>FY 2002</u>
Operations and Maintenance					
Products and Services	\$1,111.5	\$1,145.1	\$1,170.2	\$1,195.9	\$1,222.3
Enhancements					
Electronic Courtroom	\$ 125.0	\$ 125.0	TBD	TBD	TBD
MJSTAR	\$ 360.0	\$ 130.0	\$ 0.0	\$ 0.0	\$ 0.0
ECF	N/A	N/A	N/A	N/A	N/A
Projected Projects					
Enhanced District CHASER					

DISTRICT CASE MANAGEMENT AND STATISTICS

CURRENT ENVIRONMENT

The expected users and beneficiaries of district court information systems are judges and chambers personnel, clerks' office personnel, appellate court units, probation and pretrial services personnel, court reporters and interpreters, federal public defender organizations, the bar, pro se litigants, government agencies, the media, the public, Administrative Office personnel, and academic researchers.

The Integrated Case Management System (ICMS) Civil/Criminal applications and a variety of other specialized applications support case management and statistics requirements in nearly all of the district courts. Numerous trial courts, on their own initiative, have developed applications to meet their unique information-management and case-processing needs. The current information technology (IT) environment in the courts, although an improvement over the manual processes of many years ago, has limitations in a business environment that requires the quick, easy exchange of electronic information. For example, continuous changes to legislation require flexibility to implement new requirements. Because of rapidly advancing technologies, increased demands for information, and the sophistication of technology users, the necessity to modernize district court systems must be addressed.

In the face of increasing responsibilities and growing workloads, the federal courts can limit growth in costs only through the achievement of productivity improvements and other economies. The judiciary launched the Methods Analysis Program (MAP) in 1994, with goals to provide the courts with suggestions for practices or approaches that might enable them to accomplish work with reduced resources and to foster the implementation of more efficient, effective practices in court operations. Any IT initiatives will be conducted with coordination and implementation of MAP recommendations.

The District Case Management and Statistics Umbrella Group recognizes the need for increased savings and efficiencies throughout the judiciary. The following recommended objectives support the optimal use of judicial resources and will assist in implementing savings and efficiencies through the use of IT.

MAJOR NEEDS

1. The district courts need a standardized jury management system. Non-standardized systems (a) require labor-intensive, time-consuming manual support and (b) are set up such that the Administrative Office cannot provide technical and financial support for customized automated systems developed by the courts or by local vendors.

2. The daily management of civil and criminal case documents is costly and labor-intensive and leads to delays in adjudicating cases. Filed documents are not available to chambers, attorneys, parties, other court units, government agencies, or the public on a timely basis, particularly in divisional offices. Movement, reproduction, and mailing of documents add cost and time to the processing of cases. The judiciary needs to address these issues.
3. The automated case management system used by 95 percent of the district courts for processing civil and criminal cases has several limitations and needs to be modernized. It does not adequately track magistrate judge activity, sealed cases, or alternative dispute resolution cases. There is no integrated scheduling capability to coordinate the schedules of judicial officers, courtrooms, court reporters, and marshals. Case activity, deadlines, and decisions are not efficiently communicated among the various court functions or with the case parties. The design of the automated Civil/Criminal system does not facilitate easy access to case information and also does not provide archiving and subsequent retrieval capabilities to meet court management requirements. In addition, the age and the technical limitations of the Civil/Criminal system result in high costs for local and national support and enhancements.
4. Collection of national statistics from automated systems is inconsistent and, in many cases, incomplete. There is no capability to create automated statistical reports on district court trial, petit jury or grand jury activity. Trial and jury statistics are aggregated manually in most cases, requiring labor-intensive preparation for court and Administrative Office staff. Current systems are inflexible in providing statistics for changing and new requirements. As new systems are implemented statistical requirements need to be considered and addressed.
5. Existing information systems do not provide for the electronic exchange of information within and between court units throughout the judiciary. Redundant data entry in multiple court units wastes personnel resources and also increases the likelihood of error. The judiciary needs to address the issue of single-point data entry.
6. Public users need easy access to current case information. The case information provided by the existing Public Access to Court Electronic Records (PACER) system is up to 24 hours older than the case information in ICMS Civil/Criminal.
7. The Central Violations Bureau operates with computer systems that include an outdated UNIFY database management system and a complex “C” host language interface. This system does not easily interface with other software systems, is difficult and expensive to maintain, and requires the center to maintain two distinct database management systems and applications software. The judiciary needs to address these issues.

OBJECTIVES

1. Complete the Jury Management System, which will modernize and standardize jury management in the district courts (Major Need 1; IRM Goals 1, 3, and 5).
2. Develop the Electronic Case Files (ECF)/Systems Modernization project to ensure that emerging requirements, standards, and solutions are applied to all appropriate district court initiatives and coordinated with related IT projects, e.g., Financial Accounting System for Tomorrow (FAS₄T), Jury Modernization, Probation and Pretrial Services Automated Case Tracking System 2000, and Criminal Justice Act Panel Attorney Payment System Replacement Project (Major Needs 2 and 3; IRM Goals 1, 2, 3, and 5).
3. Continue to work closely with the appropriate advisory groups on a project to modernize automated civil and criminal case management. Current initiatives include (a) analysis of current processes for managing civil and criminal cases, (b) development of requirements for an effective civil and criminal case management system, (c) exploration of the integration of federal court information systems by providing the capability to exchange case information electronically, and (d) recommendation of solutions to reduce case management costs and improve the timeliness and quality of case information (Major Needs 2, 3, 4, and 5; IRM Goals 1, 2, 3, and 5).
4. Implement initiatives for providing easy access to current case and other information to the public via PACER (e.g., Internet access and real-time access) (Major Need 6; IRM Goals 1, 2, 3, and 5).
5. Maintain the existing systems at the current or enhanced operating level until such time as these systems are superseded or no longer required (IRM Goals 1, 2, 3, and 5).

PROJECTS, PRODUCTS AND SERVICES

OPERATIONS AND MAINTENANCE

Automated Jury Selection. This product consists of various vendor-provided systems that prepare the master and qualified juror wheels and print qualification questionnaires and summonses (Objective 5).

Central Violations Bureau (CVB) Imaging. The CVB system centralizes the processing of petty violation notices and the accounting of collected collateral (Objective 5).

Civil Justice Reform Act (CJRA) Reporting System¹⁸. The CJRA Reporting System provides an extraction and formatting program that produces reports to meet statutory reporting requirements. This product is funded via the CJRA appropriation (Objectives 3 and 5).

District Case Applications (DCAP). DCAP is a compilation of software applications used by the district courts. Related subsystems include the following:

- **Case Assignment System.** A system that automates the random assignment of cases filed to district and magistrate judges (Objectives 3 and 5).
- **Court Reporter System.** A system that helps courts manage a variety of information about court reporters (Objective 5).
- **ICMS Civil.** A civil case electronic docketing and case management system that also provides statistics for transmission to the Administrative Office and for local court use (Objectives 3 and 5).
- **ICMS Criminal.** A criminal case electronic docketing and case management system. It also provides Speedy Trial Act monitoring and judicial statistics (Objectives 3 and 5).

Guam Case Management System (GCMS)¹⁹. This is a case management system used in one court (Objective 3 and 5).

¹⁸ Salaries and Expenses funded.

¹⁹ This product is a locally-developed case management application. It has been certified by the Committee on Automation and Technology as functionally equivalent to national case management applications (meeting minimum functional requirements and conforming to national requirements with respect to statistical reporting) and, thus, is provided funding for automation supplies, maintenance, and cyclical replacement costs.

Judicial Automated Management System (JAMS)²⁰. JAMS is a case management system used in two districts (Objectives 3 and 5).

Jury Modernization Project. In keeping with the goal of court administrative stewardship, this project will provide a standardized, flexible, fully integrated, and automated jury management system. The jury management system and the Financial Accounting System for Tomorrow will run on a shared platform (Objective 1).

National Service Center. This project privatizes the creation of master jury wheels at a national service center (Objective 1).

Jury Management System. This system will help courts build their jury wheel internally, qualify jurors, summon jurors, and track juror utilization (Objective 1).

Peripherals. This budget item will fund scanners and high-speed printers required by courts to produce their summonses and questionnaires in-house (Objective 1).

Public Access to Court Electronic Records (PACER)-Civil/Criminal ²¹. PACER provides members of the public with electronic access to civil and criminal docket sheets. The Electronic Public Access Program is self-supported by user access fees (Objectives 3 and 5).

ENHANCEMENTS

Electronic Case Files (ECF)/District Case Management Systems Modernization. The ECF/District Case Management Systems Modernization Project will identify requirements for district court case management systems and develop a more integrated case management system to address these requirements (Objectives 2, 3, and 4).

²⁰ See note 1 above.

²¹ Electronic Public Access funded.

CVB Modernization. The objectives of this project are (1) to convert the current system based on the UNIFY database management system and “C” development language to an Oracle, Standard Query Language-compliant relational database management system, and (2) to allow for a production environment that is more easily and cost-effectively maintained and versatile with modern reporting, interfacing, and management capabilities. The new database management system will be a major component of the updated judiciary infrastructure. (Objective 5)

PROJECTED PROJECTS

Current Case Information via PACER. This project will make current civil and criminal case docket sheets available through the PACER system, possibly via Internet access (Objective 4).

RESOURCES (in thousands)

	<u>FY 1998</u>	<u>FY 1999</u>	<u>FY 2000</u>	<u>FY 2001</u>	<u>FY 2002</u>
Operations and Maintenance					
Products and Services ²²	\$4,250.9	\$4,268.5	\$3,777.6	\$3,276.0	\$3,211.0
Jury Modernization Project					
Jury Management System	\$ 0.0	\$ 26.0	\$ 67.0	\$1,272.0	\$ 935.0
Enhancements					
ECF/District Case Management Systems Modernization	\$ 400.0	\$ 400.0	TBD	TBD	TBD
Jury Modernization Project					
Jury Management System	\$ 840.0	\$1,345.0	\$1,560.0	\$ 0.0	\$ 0.0
Peripherals	\$ 260.0	\$ 403.0	\$ 390.0	\$ 170.0	\$ 0.0
CVB Modernization	\$ 22.0	\$ 0.0	\$ 0.0	\$ 0.0	\$ 0.0
Projected Projects					
Current Case Information via PACER					

²² Included in Product and Services are all projects other than Jury Modernization Project-Jury Management System.

FINANCIAL

CURRENT ENVIRONMENT

The judiciary is seeing new external demands for improved accountability and control over financial resources and activities. The Financial Umbrella Group's functional strategy statement addresses improvements in the financial business practices and the court automated financial systems as well as the Central Accounting System (CAS) of the Administrative Office. This strategy statement also takes into account the needs of the nonautomated courts in adopting the new financial and management systems that will interface with other functional areas, other courts, and the Administrative Office. This approach will facilitate achieving the goals of timely and accurate reporting, cost-effective business practices, implementation of a single state-of-the-art accounting system, management and internal controls developed simultaneously with the system, policies and procedures that are compatible with system and practice capabilities, as well as audited financial statements.

The Financial Umbrella Group supports the concept of optimal use of judicial resources through the active support of stewardship and infrastructure management with the goal of complying with the Information Systems Architecture (ISA). In the area of infrastructure, the Financial Umbrella Group is working closely with the Office of Information Technology (OIT) in our judiciary financial system development and deployment efforts to ensure that future financial systems and the future ISA will be compatible. The Financial Umbrella Group is actively tracking 9 major financial system areas (2 under development and 7 in operations and maintenance status).

MAJOR NEEDS

Financial reporting in the judiciary requires an inordinate amount of manual processing in the courts and at the Administrative Office and could be more timely and accurate. The following situations are being addressed:

1. Forty-nine of the 94 courts perform their financial management functions on a variety of manual, locally developed, and Administrative Office-developed systems that often do not interface with CAS. Financial management in these courts is labor-intensive and prone to error, which results in unreliable reports to local court management for decision making and creates high-risk areas for audit findings. The need to rekey and reconcile transactions in CAS at the Administrative Office creates a two-month delay in producing the official monthly accounting reports.

2. The lack of a common hardware and software operating environment in the courts and the lack of a wide-area network (WAN) and contemporary database management system software have hindered the implementation of a standard financial system, the development of a standard approach for interfacing court systems to CAS, and the provision to courts of on-line access to CAS.
3. Forty-five of the 94 courts are operational on the Court Financial System-1 (CFS-1). The CFS User Group approved a list of 65 prioritized system enhancements several years ago, almost all of which were included in the two recent releases. The CFS-1 system underwent a complete baseline test, and conversion to the Solaris operating system has been completed and issued to three courts. This conversion effort was required due to changes necessitated by system hardware cyclical replacement. These improvements are also contained in an upcoming release of CFS-1 on the Interactive V/386 operating system. These efforts will provide a common programming code base between the Solaris and Interactive versions of CFS-1 to facilitate maintenance until all CFS-1 installations are converted to the Financial Accounting System for Tomorrow (FAS₄T).
4. There have been numerous requirements changes in the Criminal Justice Act (CJA) Panel Attorney Payment System over the years. The system lacks the basic capabilities of a payment system: audit trails, documentation, edits, internal control of maintenance and operations, and security. There are no audit trails to provide a detailed accounting of paid vouchers, nor is there a way to track the amount an attorney receives over the long term or to respond to requests from Congress for costs by case characteristics. Documentation for the system is inadequate, and a serious system failure could disable it. Edit checks and system security need to be strengthened. Basic automated management tools, both for the user and management, are either unavailable or inadequate.
5. Currently, the only way courts can disburse funds is by issuing a check, and the authority for disbursing appropriated funds resides only with the district courts.

OBJECTIVES

1. Maintain the scheduled plan to accelerate the implementation of FAS₄T. Conduct court-specific requirements and business process analysis and perform necessary activities to implement the four beta courts and the courts identified for first wave implementation (Major Needs 1, 2, and 3; IRM Goals 1, 2, and 3).

2. Coordinate, consult with, and provide requirements to OIT for its plan to install a standard hardware and software operating environment and a WAN that will support FAS₄T (Major Needs 1, 2, and 3; IRM Goals 1–6).
3. Maintain the CFS-1 system. Confirm any necessary system maintenance items and schedule for release (Major Need 3; IRM Goal 2).
4. Complete the detailed design and implementation phases of the CJA Panel Attorney Payment System Replacement Project (Major Need 4; IRM Goals 1, 2, and 5).
5. The Personnel Projection System (PPS) Court Focus Group decided in May 1997 that PPS should not be modified for pay-for-performance or alternative pay-progression systems until the new Human Resources Management Information System (HRMIS) is deployed. The PPS modification effort will be revisited at that time (IRM Goals 1, 2, 5, and 6).
6. Explore various disbursing options for court use. These options will include various tested and approved electronic media. A nondistrict court would be set up to test the various disbursing mechanisms for nonappropriated funds, such as deposit and registry funds. The results could be used to help define future system requirements (Major Need 5; IRM Goal 1).

PROJECTS, PRODUCTS AND SERVICES

OPERATIONS AND MAINTENANCE

Automation Spending and Procurement System (ASAP National). ASAP National is a personal computer-based funds control, purchasing, and vouchering application that supports budget decentralization. The system is being used by approximately 225 court units to track financial obligations. There are no plans to further enhance this software. It will be replaced by FAS₄T (Objective 1).

Court Financial System-1(CFS-1)/Court Financial System-2 (CFS-2)

Operations and Maintenance. The CFS-1 system provides basic accounting, fund control, case-related financial management, and jury accounting for district courts, bankruptcy courts, and the various other court units within the district where installed. A project is under way that will improve the timeliness and accuracy of CFS-1 interface data to CAS. The CFS-2 system is a stand-alone system that provides basic accounting, fund control, case-related financial management, and jury accounting for courts and court units (Objective 3).

Criminal Justice Act (CJA) Operations and Maintenance. This system supports the collection of panel attorney vouchers from district courts as well as payments. Most major enhancements will be done as part of the CJA Panel Attorney Payment System Replacement Project (Objective 4).

Central Budget Database (CBD). This system supports the collection and transmission of budget data from the Administrative Office to the courts. CBD generates detailed reports on allocations and allotments that are sent to all courts to track their financial status. The CFS-1 and CFS-2 courts receive their data electronically biweekly throughout the year. There are no plans to further develop this system (Objective 1).

Personnel Projection System (PPS). The PPS is a budgeting tool to help courts track their personnel costs by pay period and against their annual allotment. The PPS is in place in more than 400 court units judiciary-wide. Also PPS is in place in selected Administrative Office offices (Objective 5).

Miscellaneous Court Financial Support. These systems include miscellaneous PC-based support applications that are updated periodically and released to court or Administrative Office users, as appropriate. These include stand-alone data collection desktop applications, with cash drawer and slip printers included in the PC configuration. This is an interim effort to prepare for and facilitate the courts' upcoming implementation of FAS₄T. These systems will be replaced by FAS₄T. This area also includes a stand-alone reporting tool for submission of the Statement of Accountability and Transactions to the Administrative Office, including the supporting schedules (Objective 1).

Criminal Justice Act (CJA) Panel Attorney Payment System Replacement Project. The CJA Panel Attorney Payment System Replacement Project will integrate the panel attorney payment function into CAS, replacing the existing obsolete separate application. The new functionality will enhance our ability to make accurate and timely payments, improve internal controls, and provide additional financial management and reporting capabilities. Court staff and Defender Service representatives brought stewardship to the project, as they were key players, along with the Office of Finance and Budget staff, in developing the functional requirements for the replacement system (Objective 4).

ENHANCEMENTS

Financial Accounting System for Tomorrow (FAS₄T). This system will replace CFS-1, CFS-2, CBD, the interim ASAP National system, and all locally developed court financial systems. This effort will provide a single automated system to support the core financial efforts in the courts.

To facilitate court acceptance and stewardship, the FAS₄T effort is based on a solid partnership between Administrative Office and court professionals. These court professionals, as members of the Financial Umbrella Group and the Financial Systems Users and Working Groups, represent stewardship as they bring to the project representation from all the various court units and the specific financial functionality. They have and will continue to play a lead role in the implementation of this system, the installation in courts, and the proposed standardization concepts under the ISA (Objectives 1 and 2).

A contract was awarded to American Management Systems, and it forms part of the implementation teams in the four beta courts. The core module will utilize the Standard General Ledger and address the fundamental financial processes of funds management and control, accounts payable and disbursement, and receivables and collections. These core functions will be built on a set of foundation processes that provide system management, subsidiary ledger management, table maintenance, all with appropriate controls and reporting. The FAS₄T Project team continues to work with OIT to define a software and hardware implementation strategy that will provide the infrastructure to support the FAS₄T software installation in the courts and the standardization concepts under the ISA (Objectives 1, 2, and 6).

Infrastructure (FAS₄T, Jury Modernization Project, Other). These funds will provide the infrastructure for FAS₄T. Database servers will be procured from a judiciary-wide contract and will be used to not only support FAS₄T, but also other system projects such as the Jury Modernization System. FAS₄T utilizes the existing Data Communications Network infrastructure that is now in place. Courts will have to upgrade their end-user computers to support the FAS₄T client software: a Windows 95 PC configured with *at least* 500 MB free disk space and 32 MB (64 MB for financial administrators) RAM is required. These machines will be procured using local court funds and represent a hardware configuration that is comparable with current industry standards (Objective 2).

PROJECTED PROJECTS

None.

RESOURCES (in thousands)

	<u>FY 1998</u>	<u>FY 1999</u>	<u>FY 2000</u>	<u>FY 2001</u>	<u>FY 2002</u>
Operations and Maintenance					
Products and Services ²³	\$1,262.7	\$ 695.4	\$ 221.7	\$ 194.7	\$ 75.8
FAS ₄ T O & M	\$ 787.0	\$1,231.0	\$1,790.0	\$1,965.0	\$1,965.0
Enhancements					
FAS ₄ T	\$6,525.0	\$1,070.0	TBD	TBD	TBD
Infrastructure	\$3,458.0	\$ 810.0	TBD	TBD	TBD
(FAS ₄ T, Jury Modernization Project, Other)					
Projected Projects					
None					

²³ Included in Products and Services are all financial projects other than FAS₄T. Full implementation of FAS₄T is projected by the end of 1999. As FAS₄T becomes fully implemented across the judiciary, it will replace many of these other financial projects such as CFS-1, CFS-2, ASAP, and CBD.

OFFICE AUTOMATION (OA) AND NETWORKS

CURRENT ENVIRONMENT

The OA and Networks Umbrella Group sponsors several projects aimed at enhanced use of automation and other high-technology initiatives. Current technology efforts include (1) completing implementation of a nationwide communications network linking all of the courts with each other and with the Administrative Office, and (2) providing funding to maintain and periodically renew the desktop PC as entry point for judges and court staff to access and manage cases and information.

MAJOR NEEDS

1. The existing OA and telecommunications (voice and data) infrastructure needs to be maintained and upgraded to prevent an installed base that is outdated, antiquated and does not provide the flexibility needed to meet the changing operational requirements of the judiciary. If the infrastructure is not adequately maintained, it will deteriorate and will not be available for use by court personnel to accomplish day-to-day tasks.
2. Nationwide installation of the Data Communications Network (DCN) must be accomplished. The DCN is essential for the implementation of the current and future applications that will exchange data between and within court sites. The DCN is essential for the judiciary to have a consistent, reliable, and cost-effective national network for the exchange of data, documents, and information.
3. Proper training of court personnel to ensure cost-effective use of OA and network tools must be provided. Training is needed for end-users and technical support staff on the use of OA, network, and telecommunications applications and tools. Education is needed on the potential benefits of these technologies.
4. Cost-effective solutions and enhancements to improve the effectiveness and efficiency of OA and telecommunications in the courts must be provided. If the OA and telecommunications technologies are not used well and continuously improved to meet court requirements, the judiciary will not realize a positive return on its investment.
5. Acquisition sources for OA and telecommunications technologies and services must be established or replaced as necessary.

6. Because future automation solutions and applications will generate significant additional traffic for the DCN, it is essential to identify and meet new requirements with regard to volume, frequency, and type of data to be transferred over the network.

OBJECTIVES

1. Issue annual allotments to the courts for OA and network equipment maintenance, supplies, and cyclical replacement, as well as for telephone systems (local telephone services, commercial long-distance services, and follow-on repairs and maintenance). Fund acquisitions of telephone systems and relocation of telephone systems to new sites, based on analyses of requests from the courts. Provide appropriate OA and DCN software upgrades and equipment enhancements to the courts. Provide funding for OA and telephone acquisition for new judgeships (Major Need 1; IRM Goals 3 and 4).
2. Finish installation of the DCN to small court sites (Major Need 2; IRM Goals 4 and 5).
3. Implement OA, network, and telecommunication applications and tools training programs for court users in coordination with the Support and Education Umbrella Group and in keeping with the national IRM education and training program, in accordance with the Judiciary OA Education Plan and through the telecommunications training seminars. Share technology solutions through user group meetings (e.g., Telecommunications Users Group), newsletters, and the OA bulletin board system. Provide guidance and guidelines as appropriate (Major Need 3; IRM Goal 2).
4. Evaluate and fund cost-effective technologies and solutions for voice and data telecommunications (Major Need 4; IRM Goals 1 and 4).
5. Maintain and manage existing contracts, such as the national OA contract and DCN follow-on contracts. Renew and maintain existing enterprise software licenses (Major Need 5; IRM Goals 3 and 4).
6. Solicit information from other umbrella groups, courts, and Administrative Office program offices to identify and define future bandwidth requirements for the DCN to assure that these requirements can be met in a timely fashion (Major Need 6; IRM Goals 2 and 4).

PROJECTS, PRODUCTS AND SERVICES

OPERATIONS AND MAINTENANCE

Office Automation Program. This program provides funds to maintain and purchase supplies for the existing base of PCs in the courts. This program also funds the acquisition of OA equipment for new judges and a cyclical replacement program for the aging installed base of court PCs. In addition, this program promotes the use of OA in the courts through user groups, through an electronic bulletin board system and Administrative Office newsletters, and through the training of end users through the Judiciary OA Education Program. Finally, this program includes the management of national OA and related contracts (Objectives 1, 3, and 5).

Data Communications Network Program (DCN). This program includes the management of the DCN contracts and coordination of DCN operations and maintenance efforts in the courts and in the Administrative Office. This program also manages configuration changes to the DCN and engineering enhancements as required (Objectives 1 and 5).

Voice Telecommunications Program²⁴. This program includes the management of the Voice Telecommunications Program for the courts, including the development of appropriate guidelines and approval of funding requests. It includes the ordering and funding of data lines in support of ICMS and the DCN. This program also includes the management of telecommunications training seminars for the courts. Finally, this program provides approval and funding of new telecommunications technologies (Objectives 1, 3, and 4).

Internet/Intranet

Internet Access²⁵. This project will help identify opportunities and develop capabilities for increasing service to the judiciary, the courts, the bar, and the public through cost-effective use of Internet and intranet technologies. As the installation of the DCN nears completion, the judiciary will have in place a private

²⁴ Voice Telecommunications Program funded.

²⁵ Funded under Internet/Intranet.

network offering connectivity among the various judiciary offices. Through use of existing technologies that have been developed for the Internet, there exists a significant opportunity to make information readily available both within and outside of the judiciary, while offering savings potential in the areas of paper printing and distribution costs and offering more timely data (Objective 4).

DCN Intranet Web Platform. This project will provide the infrastructure for an Administrative Office intranet system using the DCN for a cost-effective and timely distribution of Administrative Office publications and for communications within the judiciary (Objective 4).

ENHANCEMENTS

DCN Expansion. This project will provide supervision and coordination of the implementation of the DCN judiciary-wide. This project is a key component in the development of an infrastructure for the judiciary (Objective 2).

PROJECTED PROJECTS

None.

RESOURCES (in thousands)

	<u>FY 1998</u>	<u>FY 1999</u>	<u>FY 2000</u>	<u>FY 2001</u>	<u>FY 2002</u>
Operations and Maintenance					
Products and Services	\$37,473.1	\$41,230.9	\$44,821.1	\$45,364.2	\$45,967.0
Voice Telecommunications	\$46,101.0	\$47,283.3	TBD	TBD	TBD
Enhancements					
DCN Expansion	\$ 7,600.9	\$ 7,836.6	\$ 0.0	\$ 0.0	\$ 0.0
Projected Projects					
None					

PROBATION AND PRETRIAL SERVICES CASE MANAGEMENT AND STATISTICS

CURRENT ENVIRONMENT

Ninety-one districts are implementing the Probation and Pretrial Services Automated Case Tracking System (PACTS-UNIX). The Probation and Pretrial Services Automated Case Tracking System (PACTS 2000) Project, aimed at providing a total information system for probation and pretrial services offices is well underway.

The Officers Mobile Computing Project team is documenting the results of testing in the Western District of Texas pretrial services office and the Northern District of Georgia probation office. The Image Processing for Defendants/Offenders Project purchased imaging equipment for 45 offices and completed standards for the remaining offices to purchase using lapsed funds.

All districts, except Guam, have access to the Federal Bureau of Investigation's (FBI's) National Crime Information Center (NCIC) for criminal history data, as well as access to a variety of local law enforcement and court databases. Computer-assisted legal research services are available to all probation and pretrial services offices. The Federal Corrections and Supervision Division Bulletin Board System (FCSD-BBS) is operational and provides probation and pretrial services offices with a wide range of services, including Sentry data access. A FCSD J-Net home page is under development.

In FY 1997, there were 10,338 personal computers in 474 probation and pretrial services offices nationwide. In addition, in 350 offices a local-area network (LAN) is installed, and a vast majority of the LANs are connected to the Data Communications Network (DCN).

Three nationally supported personal computer applications and a variety of locally developed applications facilitate the investigation and supervision work and administrative functions of probation and pretrial services offices. This umbrella group has initiated four new projects. The first will explore Internet/Intranet technologies for use by probation and pretrial services officers. The second may provide probation and pretrial services officers with access to public-access databases. The third will explore document imaging technologies. The fourth will explore videoconferencing technologies.

MAJOR NEEDS

1. Improved business practices across court units to reduce the redundancy of data collection and data entry. Such redundancies cause inefficiencies and may affect the integrity of the systems data.

2. Officers in the field (conducting investigations in the community and supervision activities) need the electronic capability to retrieve or update defendant and offender case information. Without this capability, their productivity potential is significantly reduced.
3. Judicial officers, whether in the courtroom or in chambers, do not have immediate access to probation and pretrial services investigation-and supervision-related records. This often means that data for judicial decision making is not always readily available.
4. Information needs of probation and pretrial services officers routinely exceed the capability of existing case management systems. This impedes efforts to investigate and supervise defendants and offenders in an efficient, timely, and effective manner.
5. Time and travel expenses for officers conducting interviews and investigations with defendants and offenders in remote locations need to be reduced. In addition, there are numerous management efficiency issues relating to divisional offices, including training, staff meetings, and communication that require resolution.
6. Improvements need to be made in statistical data collection. The data currently collected by the Administrative Office of the U.S. Courts (Administrative Office) and data collected by the Pretrial Services Act Information System (PSAIS) and the Federal Probation Supervision Information System (FPSIS) are based on reporting requirements that have evolved over many years, resulting in data that are
 - a. sometimes duplicative of data already stored in other systems,
 - b. insufficient for increasingly detailed budget formulation and national planning,
 - c. not readily accessible to officers searching for investigative leads, or
 - d. not readily available to managers in summary form either on-line or in an electronic format (for downloading) to enable analysis.
7. Training is required for all levels of staff—managers, officers, technical professionals, and support staff who require enhanced computer skills due to the use and proliferation of automated resources.
8. Managing and storing paper case files requires significant staff time as well as space. In addition, paper case files are not readily accessible to probation and pretrial services staff. A more efficient method of managing and storing case files is needed.

9. Rising space and facilities costs and budget limitations are forcing chiefs to reevaluate businesses processes and their space requirements.
10. A method for developing useful, effective results indicators in electronic format is needed.

OBJECTIVES

1. Develop PACTS 2000 pursuant to the judiciary-wide automation architecture and IRM requirements (Major Needs 1, 2, 3, 4, 6, 8, 9, and 10; IRM Goals 1, 3, 4, and 5).
2. Solicit ideas from judicial officers and probation and pretrial services officers about how best to provide judicial officers with online access to probation and pretrial services information (Major Needs 1, 3, 4, 8, and 9; IRM Goals 1, 2, 3, and 5).
3. Upgrade and expand probation and pretrial services officers' accessibility to NCIC and other law enforcement databases, with particular attention to upgrading court equipment in connection with the FBI's NCIC 2000 Project (Major Needs 1, 2, and 4; IRM Goals 1, 3, and 5).
4. Continue to work with users to refine requirements and pursue alternatives that allow remote access to and updating of defendant and offender information within PACTS, other databases, and applications (Major Needs 1, 2, 3, 4, 5, and 8; IRM Goals 1, 2, 4, and 5).
5. Use process modeling jointly with the Civil/Criminal User Group and the Sentencing Data User Group of the District Case Management and Statistics Umbrella Group to eliminate redundant case management functions now done by both the probation and pretrial services offices and the district courts (Major Needs 1, 2, 3, 4, and 8; IRM Goals 1–5).
6. Central data collection tasks include the following:
 - a. Reassess requirements for central data collection systems for probation and pretrial services through facilitated meetings with users in consultation with experts in the field of statistical reporting (Major Need 6; IRM Goals 1, 2, and 5).

- b. Establish national indexes, accessible to each pretrial services and probation office, of presentence reports on federal defendants and those individuals under supervision (Major Needs 2, 4, and 6; IRM Goals 1, 2, and 5).
 - c. Investigate ways in which courts can use centrally collected national data in electronic format (Major Need 6; IRM Goals 1 and 5).
- 7. Support training opportunities for systems managers, other technical professionals, and pretrial services and probation staff (including managers) in cooperation with the Support and Education Cross-Functional Umbrella Group and the Federal Judicial Center (Major Need 7; IRM Goal 6).
- 8. Solicit ideas from probation and pretrial services staff on how to use automated resources to their maximum potential, and distribute these innovative ideas to all pretrial services and probation offices (Major Need 7; IRM Goals 1, 2, and 5).
- 9. Initiate a project to assess the feasibility of document imaging of case file information (Major Needs 1, 2, 3, 4, 6, 8, and 9; IRM Goals 1, 2, and 5).
- 10. Study the potential of technologies, like telecommuting, to address the rising costs of space and facilities (Major Needs 8 and 9; IRM Goals 1 and 6).
- 11. Analyze Internet and intranet technologies and their applicability to addressing a wide range of needs, including national data access, in the area of probation and pretrial services offices (Major Needs 4 and 6; IRM Goals 1, 2, and 5).
- 12. Analyze automated methodologies to develop, maintain, and utilize results indicators in such areas as substance abuse and mental health treatment (Major Needs 4, 6, and 10; IRM Goals 1 and 5).

PROJECTS, PRODUCTS AND SERVICES

OPERATIONS AND MAINTENANCE

Access to Law Enforcement Systems. This service provides equipment for probation and pretrial services offices to access NCIC, as well as local law enforcement and court databases, for retrieval of arrest histories, disposition information, and "wanted" notices on defendants and offenders. Over the next five years, the FBI will be implementing an upgraded national system—NCIC 2000—that will require Administrative Office funding be provided to probation and pretrial services offices for upgraded equipment (Objective 3).

Court Unit Executive as Information Technology Manager Training²⁶. This joint project with the Federal Judicial Center will provide court unit executives (chief probation and pretrial services officers) with training in areas such as automation planning, budgeting, and management (Objective 7).

Defendant/Offender Identification. This product will provide a national database that allows a probation or pretrial services officer to determine if a particular defendant or offender has an identifiable supervision or investigation record in another district (Objective 8).

Federal Corrections and Supervision Division Bulletin Board System and J-Net Homepage²⁷. These products will provide probation and pretrial services offices with electronic access to the many documents that are distributed by the FCSD and will allow probation and pretrial services users to share locally developed programs. During 1998, all bulletin board system services will be converted to the J-Net (Objectives 2, 6, and 8).

²⁶ Funded through the Federal Judicial Center and the Judiciary Executive Automation Education Program.

²⁷ Non-funded.

Madison Probation Automation System (M'PAS)²⁸. M'PAS is a comprehensive, DOS-based probation and pretrial automation system that (1) tracks PACTS information, fines, restitution, and community service; (2) performs workload statistics; (3) assists in balancing officer workloads; and (4) generates FPSIS/PSAIS data files, which eliminates dual data entry. A Windows 95 version is in development (No Objective).

Probation and Pretrial Services Automated Case Tracking System (PACTS)-UNIX. This product is a UNIFY-based, core case management system for probation and pretrial services that provides on-line query and report generation capabilities, as well as interfaces for uploading to the national databases for probation and pretrial services maintained by the Administrative Office (Objectives 1 and 4).

National Treatment Database. This subproject will provide the infrastructure for collection and analysis of substance abuse and mental health treatment and pretrial services alternatives to detention funds. This initiative will provide the necessary data to develop results-based indicators in these areas (Objectives 1 and 12).

Probation and Pretrial Services Automated Case Tracking System (PACTS) Automation Managers Support and Education. This service will provide ongoing technical training for probation and pretrial services automation personnel (Objective 7).

ENHANCEMENTS

Probation and Pretrial Services Automated Case Tracking System (PACTS 2000). This is a project to provide probation and pretrial services users with a total information system that will improve the effectiveness and efficiency of probation and pretrial services offices. The system will provide electronic generation, storage, and retrieval of all investigation and supervision case information (Objectives 1 and 4).

²⁸ This product is a locally-developed case management application. It has been certified by the Committee on Automation and Technology as functionally equivalent to national case management applications (meeting minimum functional requirements and conforming to national requirements with respect to statistical reporting) and, thus, is provided funding for automation supplies, maintenance, and cyclical replacement costs.

Infrastructure (PACTS 2000). These funds are a placeholder for funding for the infrastructure for PACTS 2000 (Objectives 1 and 4).

Officers Mobile Computing. This “virtual office” project is examining officers' requirements for information and access to data, both to reference and update, while they perform field work (Objectives 4 and 10).

Image Processing for Defendants/Offenders. This project is examining methodologies to capture images of defendants and offenders on-line, in lieu of case file photographs, for immediate identification (Objective 8).

Probation and Pretrial Services National Database Evaluation. The report produced from this evaluation will be studied to determine any appropriate future objectives for meeting requirements for data collected by the Administrative Office in PSAIS and FPSIS and the processes used to collect those data (Objective 6).

PROJECTED PROJECTS

Document Imaging. The project will explore on-line storage of case file information with the goal of reducing paper case files (Objectives 8 and 9).

Internet/Intranet Technologies. The project will explore a variety of Internet/Intranet technologies to assist officers in acquiring or processing case information in more efficient, effective ways. Initiatives include PACTS-UNIX-intranet access for officers and conducting investigations on the Internet (Objective 11).

Public Access Database. This project will explore on-line access for officers to public-access databases. Based on the results of those tests, access to public-access databases could become a requirement for probation and pretrial services users (Objective 8).

Videoconferencing Technologies. The project will explore a variety of videoconferencing and related technologies to assist officers in conducting case interviews and collecting case information in more efficient and effective ways. The project will also explore the potential of these technologies to assist in administrative areas, including training and staff meetings (Objective 5).

RESOURCES (in thousands)

	<u>FY 1998</u>	<u>FY 1999</u>	<u>FY 2000</u>	<u>FY 2001</u>	<u>FY 2002</u>
Operations and Maintenance					
Products and Services	\$2,528.6	\$2,838.8	\$3,000.1	\$3,408.8	\$4,249.8
Enhancements					
PACTS 2000	\$ 680.0	\$1,709.0	\$1,838.0	\$1,918.0	\$ 0.0
Infrastructure (PACTS 2000, Other)	\$ 0.0	\$ 0.0	\$ 0.0	\$ 0.0	\$ 0.0
Image Processing for Defendants/Offenders	\$ 45.0	\$ 45.0	\$ 0.0	\$ 0.0	\$ 0.0
Probation and Pretrial National Database Evaluation	\$ 127.5	\$ 0.0	\$ 0.0	\$ 0.0	\$ 0.0
Officers Mobile Computing	\$ 864.0	\$ 874.0	\$ 854.0	\$ 854.0	\$ 854.0
Projected Projects					
Document Imaging					
Internet/Intranet Technologies					
Public Access Databases					
Videoconferencing Technologies					

SUPPORT AND EDUCATION CROSS-FUNCTIONAL

CURRENT ENVIRONMENT

The Support and Education Cross-Functional Umbrella Group advises the Administrative Office about two distinct, yet related, functions inherent in the use of computer technology. Support, the first function, is concerned with acquiring and preserving knowledge about the computer hardware and software used in various court units. The persons acquiring that knowledge are not, generally speaking, the end users, but rather are personnel in systems departments or sections. The scope of the support function extends from networked equipment to stand-alone machines, from servers to peripheral devices such as printers, and from operating systems to application software. The term “support” means services related to installing equipment, implementing software applications, and maintaining both software and equipment.

The second function is education in the use of software applications. Once the support function has been carried out so that equipment and applications have been installed, end-users must be taught how to utilize the equipment and applications to become more efficient in doing their assigned tasks. While the support element is more concerned with systems personnel, the focus of education is primarily on the end user.

Proper management of support and education functions is a critical part of making the federal judiciary more efficient. Like any other exercise in overseeing resources, managing computer technology requires attention to the needs of the organization as a whole, as well as to the needs of its units and of individual users.

During FY 1997, this umbrella group sponsored the following projects:

- Standardizing the process followed in obtaining information from persons making telephone inquiries about support issues, and implementing the standardized call log system in the central automation support centers of the judiciary
- Developing videoconferencing for presentations at regional meetings
- Working with the Technology Training and Support Division to develop new delivery methods for current curriculum
- Working with the Probation/Pretrial and Statistics Umbrella Group and the Federal Judicial Center to develop an education program for probation and pretrial chiefs about managing technology
- Purchasing technical training for judiciary systems personnel

Being a cross-functional group, the group has tried to develop more uniform approaches to solving problems related to support and education in diverse working environments. The new advisory structures being considered may need to take into account some of these experiences in working with different court units.

MAJOR NEEDS

1. The consistent delivery of IT support to court units is required to assist court-based automation staff in responding to the users' needs for support of nationally and locally developed products and services.
2. Education and training in the productive and secure use of information technology (IT) is needed in order to enhance the ability of some judges, court managers, and staff to fully utilize the products and services made available for their daily work.
3. The judiciary is a highly decentralized organization where individuals apply technology in varied ways to increase productivity and to solve problems. More efficient methods must be developed to facilitate the transfer of knowledge and experience throughout the judiciary. The exchange of knowledge will reduce or eliminate redundant efforts and increase productivity.

OBJECTIVES

1. Provide guidance on support and education to the user community, and foster communication and involvement on support and education issues within the user community with the Automation Managers Conference and other automation awareness vehicles (Major Needs 1 and 3; IRM Goals 2 and 3).
2. Provide educational opportunities to help judges, court managers, and staff understand how IT can improve work processes and increase productivity in the courts. Form coalitions with other umbrella groups to identify joint activities that improve the effectiveness of education efforts (Major Needs 1 and 2; IRM Goals 3 and 6).
3. Provide adequate education and training opportunities for court automation support staff so they can upgrade skills and keep up to date on advances in IT (Major Needs 1 and 2; IRM Goals 3 and 6).

PROJECTS, PRODUCTS, AND SERVICES

PRODUCTS AND CURRENT SERVICES

Optimize Training and Support. Optimization of training and support (Objectives 1, 2, and 3).

- **Call Log Project:** Implementation (stage 1) provides for the implementation of the standardized call log system in the central automation support centers of the judiciary. Implementation (stage 2) expands the implementation of the call log system to the courts.
- **Implement easy-to-use, widely-accessible information sharing services** to share technical experiences.

Automation Managers Conference. Contact court automation managers to develop the agenda for the FY 1998 Automation Managers Conference. Construct the agenda using new approaches, such as videoconferencing and satellite broadcasting, where it makes sense (Objective 1).

Alternate Training Methods. Satellite broadcasting, videoconferencing, Internet/Intranet, and multimedia training are tools that will enable the judiciary to deliver education and training to greater numbers of staff at a reduced per-student cost (Objectives 2 and 3). Explore strategies to encourage acceptance of these new training media and to build management support for using technology to deliver education and training. Work with the Technology Training and Support Division to develop new delivery methods for current curriculum.

Judiciary Executive Automation Education Program²⁹. Continue joint work with Probation/Pretrial Case Management and Statistics Umbrella Group and the Federal Judicial Center to offer the “Building Effective Partnerships to Manage Technology in Probation and Pretrial” workshop. Using feedback from the FY 1997 workshop, refine the program and consider expanding it to district, bankruptcy, and appellate courts (Objective 2).

²⁹ Partially funded by the Federal Judicial Center.

Automation Managers: Support and Education. This service provides funds to train automation managers in the various courts (Objective 3).

ENHANCEMENTS

None.

PROJECTED PROJECTS

None.

RESOURCES (in thousands)

	<u>FY 1998</u>	<u>FY 1999</u>	<u>FY 2000</u>	<u>FY 2001</u>	<u>FY 2002</u>
Operations and Maintenance					
Products and Services	\$ 740.1	\$ 830.1	\$ 762.8	\$ 783.1	\$ 801.9
Enhancements					
None					
Projected Projects					
None					

SUPPORT AND EDUCATION IRM CENTRAL

CURRENT ENVIRONMENT

In an era characterized by rapidly changing technology and an ever-increasing demand for information, the judiciary must meet the challenge of providing an information technology (IT) infrastructure that can embrace emerging technologies as they become available. A rapidly increasing demand by the public sector and other government agencies for electronic access to the judiciary's information is causing us to reengineer our applications. The judiciary's information systems must provide the public with easier access to our information, but at the same time provide a secure environment so that information cannot be compromised. In a fiscal context in which the courts are being asked to do more with fewer resources, it becomes even more critical that each employee be trained to make the most efficient use of technology in performing the work of the judiciary. IRM Central integrates a number of national programs, which include IT assessment, development, and innovation to meet the challenges facing the judiciary.

A standard Information Systems Architecture (ISA) has been approved by the Judicial Conference and is now in place. The ISA is an adaptive infrastructure that guides the development of the judiciary's IT systems and enhances the ability of the courts to meet the increased internal and public demands for electronic access to court information. A nationally focused strategy to minimize the threat of loss due to unauthorized access to the judiciary's information resources is undergoing continual review. A new Standard Query Language (SQL) Database Management System (DBMS) has been obtained by the Administrative Office that will provide enhanced data management services for new application development.

The comprehensive IRM services program continues to be implemented, addressing the need in information technology projects for IRM standards and guidelines. Also addressed are acquisition services, project management services, quality assurance, data security, data administration, architecture, configuration management, planning, budgeting, and technology assessment. Court and Administrative Office personnel are developing IRM standards and guidelines, which are being issued and amended as required. The automation project management system is being streamlined based on user feedback.

MAJOR NEEDS

1. Additional training is necessary for managers and users to fully understand how IT projects are managed. The IT project management process should be streamlined so that it will not be perceived as unduly burdensome.
2. The existing automation architecture infrastructure (including nationally supported computer systems, operating systems, database management systems, applications development and maintenance environments, communications capabilities, and personal computer equipment in the courts) requires constant reassessment and evaluation . The automation architecture must be monitored to assure that it is adequate to move the judiciary's automation program forward in a meaningful manner. This includes not only the mission-critical case management applications but also new financial and administrative applications.
3. Some existing databases, both at the Administrative Office and in the courts, must be modified to allow for the entry of or resulting computation of dates in the year 2000 and beyond. These modifications will prevent these applications from generating errors in computed dates or results of computations relying on date fields. Modifications are also needed to ensure that date values beyond December 31, 1999, will be accurately recorded in the databases.

OBJECTIVES

1. Streamline the project management process, and continue educating users and managers regarding its purpose and importance (Major Need 1; IRM Goals 2, 3, and 6).
2. Pursue upgrading, in the most cost-effective way, the national information technology infrastructure including completing the Data Communications Network (DCN), acquiring appropriate software development tools for Administrative Office and court developers, and ensuring that courts have personal computer (PC) capabilities to use the applications being developed (Major Need 2; IRM Goals 3 and 4).
3. Initiate and support projects that respond to the IRM needs identified throughout the judiciary. Decisions to update, change, or refocus direction will be made to keep pace with judiciary needs. Continue to review and evaluate the IRM program to ensure that the judiciary's IRM resources are used properly in accomplishing the various tasks (Major Needs 1 and 2; IRM Goals 1, 2, 4, 5, and 6).

4. Prepare appropriate verbal and written communications to Administrative Office and court staffs related to the year 2000 “problem”. Advise them of the need to review application functional requirements to identify any date fields, related software, screen forms, and printed outputs that will be affected by the entry or computation of dates in the year 2000 and beyond. Make appropriate modifications (Major Need 3; IRM Goals 1, 2, and 6).

PROJECTS, PRODUCTS AND SERVICES

OPERATIONS AND MAINTENANCE

Judiciary Central Processing System. This system provides central processing services to the courts for personnel, payroll, financial, and statistical applications (Objective 3).

Technology Assessment. This service provides support for a variety of technology assessment and consulting efforts being undertaken centrally on behalf of the courts. Representative efforts include: (1) the evaluation of state-of-the-market commercial hardware, software, and data communications products; (2) development, integration, and in-court experimentation of prototype applications, such as electronic filing and automated docketing; and (3) consultation in the use of process innovation methodologies to streamline court business processes.

This service encompasses the following:

- **Technology Assessment:** platform technology assessment, software technology assessment, telecommunications technology assessment, and analysis/design methods;
- **Technology Consulting:** facilitated meeting support, security consulting, performance analysis consulting, and electronic public access consulting;
- **Process Innovation Experiments:** New Mexico Process Innovation Experiment; and Electronic Case Files (ECF): ECF District Prototype, and ECF Bankruptcy Prototype (Objectives 2 and 3).

Micrographic Services. This is primarily a budget placeholder for computer-output microfiche services for Judiciary Central Processing System-supported systems and one-time micrographic services as required by courts. Computer output microfiche services were discontinued in FY 1996. The remainder of the micrographic services project will be discontinued during FY 1998 (Objective 3).

Computer Security. This service supports development of policies and procedures for implementing a judiciary-wide computer security program (Objective 3).

Acquisition Support. This service provides central support for federal information processing acquisition services for various judiciary projects (Objectives 1, 2, and 3).

Information Systems Architecture (ISA). This service provides assistance and support in the transition to and implementation of the judiciary's IT infrastructure (Objectives 2 and 3).

Federal Rules Electronic Document³⁰. This service provides software necessary to properly support the management needs of the Judicial Conference Committee on Rules of Practice and Procedure (Objective 3).

Judiciary Systems Automated Test Environment (JSATE). JSATE provides a facility and service to the judiciary's systems development and integration community for the purpose of performing load, stress, and performance testing and profiling. By providing a test facility that conforms to the ISA technical reference model, JSATE supports the validation of application and product compatibility with the ISA (Objectives 1 and 3).

³⁰ Non-funded.

Integrated Case Management System (ICMS) Solaris Conversion³¹. This product provides an application which is compatible with the Solaris operating system. Previously, the application software was dependent on the Unix Interactive operating system (Objective 2).

ICMS Year 2000³². The ICMS Year 2000 date conversion project will convert nationally supported ICMS and related applications to be year-2000 compliant (Objective 4).

Platform Operating System Upgrade Nationwide. This project will provide a source of supply for organizations in the judiciary to quickly and easily acquire state-of-the-market application servers after existing contracts expire. The project will provide the infrastructure required to provide ongoing ICMS application services and will meet judiciary ISA standards (Objectives 2).

Financial Disclosure³³. This system will provide for document imaging of the financial disclosure forms and a tracking/tickler reporting system (Objective 3).

SQL DBMS Replacement. This project provides a replacement for UNIFY, the aging UNIX-based DBMS, with a modern SQL-compatible DBMS in accordance with the ISA. The new system is a major component of the updated judiciary infrastructure (Objectives 2 and 3).

Development Server Platform Support (formerly known as General Support). This budget project provides for equipment (including cyclical replacement), services, and supplies the Administrative Office needs to support development, enhancements, and operations of nationally supported products. (Objective 3)

³¹ Non-funded.

³² Non-funded.

³³ Salaries and Expenses funded.

Video Telecommunications

Judiciary Television Network (formerly known as Satellite Downlinks). In response to distance learning requirements identified by the Federal Judicial Center and the Administrative Office, the Executive Committee of the Judicial Conference authorized the expenditure of funds to equip approximately 200 court sites with satellite downlink equipment for receiving educational and administrative broadcasts. These broadcasts would originate from the Federal Judicial Center, the Administrative Office, the United States Sentencing Commission, and other government agencies, universities, and sources producing programming of interest to the judiciary. Plans are under way to acquire and install the downlink equipment during FY 1998 (Objective 3).

Video Telecommunications Technology Assessment. This study effort is undertaking an assessment of the state-of-the-market in video telecommunications technologies which may be applicable for potential judiciary use in the areas of administrative conferencing (recurring or ad hoc), court proceedings (such as pretrial hearings or remote witness testimony), and distance learning (such as interactive training sessions or the satellite broadcast of lectures) (Objective 3)

ENHANCEMENTS

Vision Project. Advances in technology along with decreasing costs make it possible to implement technologies that will improve the quality and efficiency of courtroom proceedings. The Committee on Automation and Technology has adopted a vision which includes strategic initiatives— electronic courtroom, electronic case files, and video and telecommunications—that are key to shaping the future of the judiciary in the next 3 to 5 years.

Internet/Intranet

AO Publishing and Communications. This project provides an intranet web site which meets to the requirement to provide a cost-effective, timely method for distribution of Administrative Office publications and communications throughout the judiciary. This project is in keeping with the visionary initiative to make use of Internet and Intranet technologies where they can provide cost-effective support to stewardship in the judiciary (Objective 2, 3, and 4).

Video Telecommunications

Court Videoconferencing (formerly known as Video Civil Rights Videoconferencing). As a result of positive findings from a multi-year pilot program, the Judicial Conference, at its March 1996 meeting, authorized funding for the purchase and operation of videoconferencing systems for use in prisoner civil rights pretrial proceedings by district courts that meet certain criteria developed by the Committee on Court Administration and Case Management. The Committee reviewed requests submitted by the district courts and endorsed funding for 12 districts in FY 1996, 7 districts in FY 1997 and an additional 18 districts in FY 1998. Courts selected for participation in this program have been encouraged to consider the applicability of this videoconferencing technology to other court uses, from its use in other court proceedings to uses for administrative or educational purposes (Objective 3).

Electronic Case Files(ECF)³⁴

Electronic Case Files Study. The ECF study project is intended to provide a foundation for activities that will lead to the implementation of a judiciary-wide electronic filing and case files system that will enable the courts to reduce their reliance on paper as the primary means for storing and retrieving case-related information. The study will:

³⁴ Currently, funds are distributed from the ECF/Case Management Systems Modernization projects.

- Develop the business case for undertaking the implementation of an electronic case files system;
- Undertake a state-of-the-market review of available and emerging systems that might accommodate the needs of the federal courts;
- Identify and seek resolution of policy, legal, and procedural issues arising from the introduction of an ECF system; and
- Recommend an alternative for the implementation of such a system (Objective 3).

Related Project Efforts. Several related project efforts are being coordinated as part of the judiciary's ECF initiative. These include ECF/Appellate Case Management Systems Modernization, ECF/Bankruptcy Case Management Systems Modernization, ECF/District Case Management Systems Modernization.

In addition, experimental efforts to develop and evaluate prototype electronic filing and case files applications for use in district and bankruptcy courts (ECF District Prototype and ECF Bankruptcy Prototype, respectively) are being undertaken as part of the technology assessment activity within IRM Central (Objective 3).

PROJECTED PROJECTS

None.

AO PROJECTS

Under the leadership of the Director and the AO Information Technology Planning Council, the Administrative Office is undertaking a number of projects to meet its IT needs. These projects are managed through a planning and project management process similar to that used to manage court projects. These projects are also subject to review for adherence to the judiciary's ISA and other applicable IRM standards and guidelines. Funding for these projects may be deposited to the Judiciary Information Technology Fund on a discretionary basis by the Administrative Office, as necessary.

RESOURCES (in thousands)

	<u>FY 1998</u>	<u>FY 1999</u>	<u>FY 2000</u>	<u>FY 2001</u>	<u>FY 2002</u>
Operations and Maintenance					
Products and Services	\$8,110.7	\$7,559.4	\$7,568.8	\$7,748.1	\$7,697.2
SQL DBMS Replacement	\$ 0.0	\$ 194.0	\$ 194.0	\$ 194.0	\$ 194.0
Court Videoconferencing	\$ 0.0	\$ 684.0	\$ 774.0	\$ 846.0	\$ 871.0
Enhancements					
SQL DBMS Replacement	\$ 385.0	\$ 0.0	\$ 0.0	\$ 0.0	\$ 0.0
Internet/Intranet ³⁵					
AO Publishing and Communications	\$ 160.0	\$ 175.0	\$ 192.0	\$ 212.0	\$ 232.0
Video Telecommunications ³⁶					
Court Videoconferencing	\$ 980.0	\$ 384.0	\$ 275.0	\$ 220.0	\$ 0.0
Vision Project	\$ 0.0	\$9,750.0	\$ 0.0	\$ 0.0	\$ 0.0
ECF/Systems Modernization	N/A	N/A	N/A	N/A	N/A
ECF Study					
Related Project Efforts					
Projected Projects					
None					

³⁵ Internet/Intranet funded via Electronic Public Access revenue.

³⁶ Video Telecommunications funded under Products and Services.

UNITED STATES COURT OF INTERNATIONAL TRADE

CURRENT ENVIRONMENT

The Court of International Trade (CIT) has made progress in stabilizing its personal computer (PC) environment, reorganizing its network infrastructure, implementing a pilot CIT-Integrated Case Management System (CIT-ICMS) application, advancing into the Internet, and enhancing its in-house training program by hiring a professional trainer. All employees now have Pentium processor machines; the 486-based personal computers have either been retained for use by others such as interns or allocated to the local board of education as per executive order. Across-the-board standardization of application installation and the operating system environment has simplified user support. The network is being reorganized into one production file server, and a mirrored backup server, in addition to the nightly backup of data on a 12-tape rotation.

The successful conversion of the DOS FoxPro database files into a Sybase Relational Database Management System (RDBMS) engine has allowed CIT to begin piloting an "off-the-shelf" case management utility. This will allow for the functionality of managing case history information and address the needs of chambers to individually manage their respective case loads.

Internet access is available through three layers of security between the live data system and the local Internet firewall. Internet access is available to chambers staff, clerk's office management, and other selected staff. All court employees have access to e-mail through the cc:Mail system, and a core home page has been established.

Progress is being made in the area of user training by providing additional resources required to enhance the court's on-site training room and making the user community aware of available services.

In FY 1997, the court became committed to being a part of Financial Accounting System for Tomorrow (FAS₄T), the new Windows-based integrated financial management system for the federal judiciary. To that end, the court's financial manager was a member of the Qualitative Assessment Team. The court applied for early implementation status and is in the process of coordinating with the Administrative Office for the procurement of FAS₄T hardware and software. This new integrated financial system will: replace the court's stand-alone accounting system; enable the court to link accounting data, including all required accounting reports, with the Administrative Office; provide a cost-effective accounting system by reducing the processing of financial transactions and improving data accuracy and integrity; and enable the court to adhere to all accounting standards and improve its internal controls.

The court has begun exploring different approaches to the implementation of videoconferencing, real-time court reporting, and options for the use of the Internet. In addition, the court is monitoring the first-round prototype projects on electronic filing in the pilot courts, with a view toward being part of the second-round deployment to the courts, or, in the alternative, developing its own in-house system. A Long Range Planning Steering Committee has been convened to more clearly define goals, the direction of information technology, and other issues pertaining to the court.

MAJOR NEEDS

1. An accurate assessment of the future direction of the judiciary and its interaction with the public is necessary in determining where to invest CIT-ICMS resources.
2. Web site development, including a needs analysis regarding information to be provided and obtained through the Internet.
3. All forms of electronic communication, including, but not limited to: finance, video telecommunications, real-time court reporting, and electronic records access and retrieval (e.g., Customs information).
4. Information technology security procedures and implementation, while attending to the needs of the user community.
5. Raise the staff's level of proficiency in the use of technology through the enhancement of training.

OBJECTIVES

1. Fully automate electronic filing and management of case history information (Major Need 1; IRM Goals 1 and 5).
2. Determine the benefit and use of the Internet access and make improvements where needed. Develop a Web site (Major Need 2; IRM Goals 2 and 5).
3. Implement videoconferencing and real-time court reporting (Major Need 3; IRM Goals 1, 2, and 5).

4. Define information technology security policies and procedures (Major Need 4; IRM Goals 1 and 5).
5. Expand the in-house training program on the utilization of information technology (Major Need 5; IRM Goal 6).
6. Continue commitment to the judiciary's Information Systems Architecture. (Major Need 5; IRM Goals 3 and 4).
7. Implement FAS₄T (Major Need 3; IRM Goals 1 and 5).

PROJECTS, PRODUCTS AND SERVICES

OPERATIONS AND MAINTENANCE

Internet Access. The court maintains a 56K line for providing access to and from the Internet through the World Wide Web and is currently ascertaining the benefits of news group, file transfer protocol, telnet, and gopher services (Objectives 1 and 2).

Local Area Network (LAN)-Based CD-ROM Research. The in-house CD-ROM research system has proven very helpful as reported by numerous law clerks throughout the year. Maintaining working hardware and providing for future growth are the key concerns (Objective 6).

Data Communication Network (DCN) Access. DCN access is the court's doorway to the rest of the judiciary. Since CIT judges often sit on circuit and district courts or are required to hold hearings in other parts of the country, access to materials over the DCN provides a particularly keen advantage (Objective 6).

Network Reliability and Integrity. Due to automation of services, maintaining a stable network environment and a disaster recovery system have become increasingly important (Objectives 4, 5, and 6).

PC Hardware and Software Upgrades. Annually replace up to 20 percent of the desktop hardware, as per Administrative Office IRM bulletin recommendations (IRM 96-9). Older machines are cycled down to positions where their use is less critical, while enhancing the information flow of the court. Surplus machines are cycled out to local school boards, as per Executive Order.

Installing up-to-date versions of software, including fixes and patches, enables staff to get the most use out of the tools at hand (Objective 6).

ENHANCEMENTS

CIT Integrated Case Management System (CIT-ICMS). Conduct a pilot project of an off-the-shelf product in one judge's chambers to see how well the product suits the court's needs, and determine how the product stands up to the rigorous requirements defined by the court (Objective 1).

Financial Accounting System for Tomorrow (FAS₄T). Based on the Administrative Office implementation schedule, acquire hardware and software necessary to support the new financial system once full implementation is completed (Objective 7).

Electronic Filing. Strategic planning to enable CIT to be selected for the second round of prototype courts by the Administrative Office; or, in the alternative, developing an in-house system to encourage a paradigm shift toward electronic filing in the operations of the court (Objective 1).

Real-Time Court Reporting. Implement real-time court reporting. Based on the technical standards described in IRMS 702.0, the building is being outfitted for a clean, safe, and functional implementation (Objective 3).

Videoconferencing. Implement videoconferencing. Meet the needs of tomorrow's court audience by planning and implementing fundamentals today (Objective 3).

World Wide Web Home Page. Develop the different pages that will appear on the court's Web site for dissemination of information to the public (Objective 2).

PROJECTED PROJECTS

Increase Network Bandwidth. Increase the network bandwidth speed from 10 mbs to 100 mbs to facilitate technologies such as legal research tools, database access time, and videoconferencing (Objectives 2 and 6).

Opinion Retrieval System. Define the need for an opinion retrieval system, and determine any tangible benefits to the judges of the court. Implementation should be merely a matter of policy and maintenance (Objective 6).

Document Imaging. Define and justify the need for and use of document imaging, and determine potential applications for its use (Objective 1).

Mass On-line Storage. Define the need for an expandable storage device (such as an optical jukebox) to relieve the burden of file server upgrades just to expand the hard drive capacity. Optimally, such a device can be used jointly between the LAN servers and the Internet server (Objective 6).

Personnel Management. The CIT is awaiting the results of an Administrative Office assessment of human resources management tools (Objective 6).

RESOURCES (in thousands)

	<u>FY 1998</u>	<u>FY 1999</u>	<u>FY 2000</u>	<u>FY 2001</u>	<u>FY 2002</u>
Operations and Maintenance					
Products and Services	\$ 100.0	\$ 50.0	TBD ³⁷	TBD	TBD
Enhancements					
CIT-ICMS	\$ 65.0	\$ 35.0	TBD	TBD	TBD
FAS ₄ T	\$ 30.0	\$ 10.0	\$ 5.0	TBD	TBD
Electronic Filing	\$ 10.0	TBD	TBD	TBD	TBD
Real-Time Court Reporting	\$ 10.0	\$ 0.0	\$ 0.0	\$ 0.0	\$ 0.0
Video Conferencing	\$ 75.0	\$ 25.0	\$ 20.0	TBD	TBD
World Wide Web Home Page	\$ 5.0	\$ 5.0	TBD	TBD	TBD
Projected Projects					
Increased Network Bandwidth					
Opinion Retrieval System					
Document Imaging					
Mass On-line Storage					
Personnel Management					

³⁷ Future fund contributions to be determined by a needs analysis.

APPENDIX

POLICIES AND RECOMMENDATIONS

Policies adopted by the Judicial Conference that guide the information technology program include the following:

- The Judicial Conference must approve fiscal year updates of the *Long Range Plan for Information Technology in the Federal Judiciary* (JCUS-MAR90, p. 21).
- All pilot programs that will form the basis for the development of permanent programs with system-wide application or impact must be approved by the Judicial Conference (JCUS-MAR91, pp. 11-12).
- For courts operating non-UNIX automation systems that are of a complexity similar to that of UNIX-based systems, the current staffing guidelines that are applicable to UNIX-based courts also apply, provided that such systems are certified by the Committee (JCUS-MAR92, p. 27).
- Any future requests for Judicial Conference approval to conduct a pilot program must include a sunset provision and a plan for evaluation (JCUS-SEP93, p. 37).
- The Judicial Conference approved a Committee plan to identify and implement several process innovation experiments. Pilot programs will be conducted in various areas (e.g., filing and docketing, attorney electronic filing of bankruptcy petitions, and technology transfer). All pilots will include plans for evaluation and will sunset in April 1998 (JCUS-MAR95, p. 11).
- The Judicial Conference approved the *Long Range Plan for the Federal Courts* in September 1995. Approval extends only to the 93 recommendations and 76 implementation strategies (JCUS-SEP95, pp. 38-63).
- The Judicial Conference approved *The Administration of Justice: A Strategic Business Plan for the Federal Judiciary* (JCUS-SEP96, p. 47).
- The Judicial Conference adopted a policy that all projects initiated by the Administrative Office for national implementation or projects that are intended for multi-circuit use must conform with Information Systems Architecture (ISA) core requirements; adhere to the automation management process; fully integrate with other projects and products; and utilize existing communications and processing infrastructures of the ISA. This policy does not apply to applications or other automation projects developed for local use and/or projects or applications acquired with local funds. However, where such projects or applications (1) involve the sharing or exchange of data between courts within a circuit, or (2) involve data that by statute or policy of the Judicial Conference must be provided to the Administrative Office, integration and connectivity among all intended users must be achieved. (JCUS-SEP96, p. 49).
- The Judicial Conference approved the *Long Range Plan for Automation in the Federal Judiciary* with the proviso that approval does not constitute authority for any specific project to proceed outside the automation process. (JCUS-MAR97, p. 10)
- The Judicial Conference approved a policy that for any computer connected to the Data Communications Network, access to the Internet be provided only through national gateway connections approved by the Administrative Office pursuant to

procedures adopted by the Committee on Automation and Technology. (JCUS-SEP97, pp. 52-53)

- The Judicial Conference urged all courts to adopt their own policies establishing local responsibility for managing employee access to the Internet and providing guidance on the responsible use of the Internet. (JCUS-SEP97, pp. 52-53)

In June 1995, the Committee on Automation and Technology passed the following resolution concerning the judiciary's software development strategy:

It is the current judgment of the Committee on Automation and Technology that, in order to achieve the vision set forth in the *Long Range Plan for Information Technology in the Federal Judiciary*, there must be in place a software development and maintenance strategy that will include, as appropriate,

- commercial off-the-shelf software,
- encouragement and use of local court development,
- in-house development,
- outsourcing, or
- a combination of the above.

In any event, an information systems architecture must be established.

GLOSSARY

GLOSSARY

Administrative Office Direct : This term refers to the salaries, benefits, and other expenses of employees that are funded in the Administrative Office of the U. S. Courts Appropriation.

Commercial Off-the-Shelf Software (COTS): COTS is software that is developed, packaged, and marketed for specific applications to meet the requirements of a variety of users. It can be purchased from computer supply stores, catalogs, vendor contracts, or GSA schedules. Many COTS packages can be tailored to meet a specific organization's requirements.

Objective: An objective or set of actions to support attainment of a goal. These actions are specific and measurable tasks or outcomes to be accomplished within the planning horizon.

Court Automation Support Reimbursable (CASR): This term refers to funds for salaries, benefits, and other expenses of most of the employees in the Office of Information Technology and program offices who provide automation support and services to the courts. The Administrative Office is reimbursed for these expenses from the courts' S&E appropriation.

Data Communications Network (DCN): The DCN is a communications network that links workstations throughout the judiciary and enables users to share information and resources. As of March, 1997, nearly 83 percent of the judiciary's employees have potential DCN access.

Electronic Public Access (EPA): This term refers to the public access of federal court information in electronic format. Projects under the EPA program are funded through user fees collected from the public for this service.

Functional Strategy Statements: Documents that communicate five-year IRM strategies for major functional areas of the automation program. Functional strategy statements link overall organization-wide strategy in the IRM Strategic Plan and individual projects contained in the tactical plans.

Goal: A statement of a desired result or outcome. In planning, a goal is a general motivational or challenging statement of intended results, often within a certain time frame.

Information Resources Management (IRM): The process of managing information resources to accomplish agency missions and to improve agency performance.

Information Systems Architecture (ISA): Specifies the technical infrastructure (computing and telecommunications hardware and software) and the principles and standards by which data are to be managed and shared and applications are to be developed. It is designed to ensure

Glossary

that the judiciary's expenditures for automated systems are kept to a minimum, that user needs are met, and that the capability to share data and processes is maximized.

Infrastructure: In the judiciary's information technology program, Infrastructure refers to the policies and projects that provide the program's foundation, such as the DCN and the ISA.

Initiative: A strategy for achieving the goals, that is, a summary of the approach to be taken over the time span of the goal.

Internet/Intranet: The Internet is a world-wide system of networks that enables users to share information and resources. An intranet is an internal communications system based on an organization's local network (such as the judiciary's DCN) that uses Internet technologies to enable the organization's users to share information and resources. In the judiciary, Internet/Intranet refers to the FY 1997 initiative to implement both systems.

IRM Strategic Plan: A document that articulates an organization-wide strategy to guide overall information resources management policy and budget decisions. It communicates and describes current and anticipated IRM plans for a five-year period and is updated annually.

Judiciary Information Technology Fund (JITF): The Judiciary Information Technology Fund was created by Congress in 1990. The JITF was authorized "without fiscal year limitation," which allows the judiciary to carry forward funds for projects that incur obligations over multiple years, and to maximize the benefits of contracting.

Judiciary Staff: Federal personnel employed by the judiciary, with the exception of judges.

Mission: A general statement of core purpose or overriding philosophy. It is a statement of shared values and purpose that serves as the foundation of a planning process.

Salaries and Expenses (S&E): This term refers to funds that are appropriated for the salaries, benefits, and other operating expenses of judges and support personnel for the U.S. courts of appeals, district courts, bankruptcy courts, and the U.S. Court of Federal Claims.

Stewardship: In the judiciary's automation program, stewardship refers to those projects that support the judiciary's role as trustee for its properties, people, and financial resources, and its commitment to high-level service. These include Financial Accounting System for Tomorrow, Jury Modernization Project, Civil Justice Act Payment Replacement System, Integrated Library System (ILS), and Personnel Systems Modernization Project.

Strategic: Affects vital interests. When used as strategic planning, it denotes a type of planning that supports the core purpose or mission.

Tactical Plan: A document that describes an IRM project, its function and purpose, milestones, current status, the impact of not going forward, and internal and external project dependencies. This information serves as a status report or “snapshot” as of a particular date established during the planning period.

Umbrella Groups: Umbrella groups identify needs and coordinate specific projects within broad functional areas, and provide cohesion to the individual projects within their area of concern. Umbrella groups identify, validate, and prioritize the users' functional requirements in their respective areas and help oversee and review efforts undertaken in response to those needs. These groups are: Administrative, Appellate Case Management and Statistics, Bankruptcy Case Management and Statistics, Chambers and Courtroom, District Case Management and Statistics, Financial, Office Automation and Networks, Probation and Pretrial Services Case Management and Statistics, Support and Education - Cross-Functional, and Support and Education - IRM Central.

User Groups: User groups exist within each umbrella group and comprise subject-matter experts—representatives from the courts and the Administrative Office. User groups identify and articulate needs for specific applications.

Vision: A statement that projects the successful outcome of the mission. It is a description of what the organization should look like as it successfully implements its strategies and achieves its full potential.